

Application for Federal Assistance SF-424

* 1. Type of Submission:

- ☐ Preapplication
☒ Application
☐ Changed/Corrected Application

* 2. Type of Application:

- ☒ New
☐ Continuation
☐ Revision

* If Revision, select appropriate letter(s):

* Other (Specify):

* 3. Date Received:

Completed by Grants.gov upon submission.

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

NA

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name:

WestEd

* b. Employer/Taxpayer Identification Number (EIN/TIN):

94-3233542

* c. Organizational DUNS:

0746538820000

d. Address:

* Street1:

730 Harrison Street

Street2:

* City:

San Francisco

County/Parish:

* State:

CA: California

Province:

* Country:

USA: UNITED STATES

* Zip / Postal Code:

94107-1242

e. Organizational Unit:

Department Name:

Division Name:

CSAP

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

Ms.

* First Name:

Deborah

Middle Name:

V.H.

* Last Name:

Sigman

Suffix:

Title:

Interim Program Director, CSAP

Organizational Affiliation:

WestEd

* Telephone Number:

(b)(4)

Fax Number:

(b)(4)

* Email:

(b)(4)@wested.org

Application for Federal Assistance SF-424

* 9. Type of Applicant 1: Select Applicant Type:

X: Other (specify)

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

Joint Powers Agency

* 10. Name of Federal Agency:

Department of Education

11. Catalog of Federal Domestic Assistance Number:

84.283

CFDA Title:

Comprehensive Centers

* 12. Funding Opportunity Number:

ED-GRANTS-040419-001

* Title:

Office of Elementary and Secondary Education (OESE): Comprehensive Centers (CC) Program CFDA Number 84.283B

13. Competition Identification Number:

84-283B2019-1

Title:

Comprehensive Centers (CC) Program CFDA Number 84.283B

14. Areas Affected by Project (Cities, Counties, States, etc.):

StatesCoveredByRegion15.pdf

Add Attachment

Delete Attachment

View Attachment

* 15. Descriptive Title of Applicant's Project:

Region 15 Comprehensive Center

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424**16. Congressional Districts Of:*** a. Applicant * b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:* a. Start Date: * b. End Date: **18. Estimated Funding (\$):**

| | |
|---------------------|--|
| * a. Federal | <input type="text" value="32,363,285.00"/> |
| * b. Applicant | <input type="text" value="0.00"/> |
| * c. State | <input type="text" value="0.00"/> |
| * d. Local | <input type="text" value="0.00"/> |
| * e. Other | <input type="text" value="0.00"/> |
| * f. Program Income | <input type="text" value="0.00"/> |
| * g. TOTAL | <input type="text" value="32,363,285.00"/> |

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- ☒ a. This application was made available to the State under the Executive Order 12372 Process for review on .
- ☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- ☐ c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**☐ Yes ☒ No

If "Yes", provide explanation and attach

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

☒ ** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:

Middle Name:

* Last Name:

Suffix:

* Title: * Telephone Number Fax Number * Email: * Signature of Authorized Representative: * Date Signed:

**States Covered by the Region 15
Comprehensive Center:**

Arizona

California

Nevada

Utah

**Congressional Districts of Region
15 Comprehensive Center Co-
Directors:**

Deborah V.H. Sigman – CA-006

Mary Peterson – NV-002

U.S. DEPARTMENT OF EDUCATION
SUPPLEMENTAL INFORMATION
FOR THE SF-424

OMB Number: 1894-0007
Expiration Date: 09/30/2020

1. Project Director:

| | | | | |
|---------|-------------|--------------|------------|---------|
| Prefix: | First Name: | Middle Name: | Last Name: | Suffix: |
| Ms. | Deborah | V.H. | Sigman | |

Address:

| | |
|-----------|--------------------|
| Street1: | 1000 G Street |
| Street2: | Suite 500 |
| City: | Sacramento |
| County: | Sacramento |
| State: | CA: California |
| Zip Code: | 95814-0892 |
| Country: | USA: UNITED STATES |

| | |
|-------------------------------|-----------------------------|
| Phone Number (give area code) | Fax Number (give area code) |
| (b)(4) | |

Email Address:

(b)(4)@wested.org

2. Novice Applicant:

Are you a novice applicant as defined in the regulations in 34 CFR 75.225 (and included in the definitions page in the attached instructions)?

☐ Yes ☒ No ☐ Not applicable to this program

3. Human Subjects Research:

a. Are any research activities involving human subjects planned at any time during the proposed Project Period?

☐ Yes ☒ No

b. Are ALL the research activities proposed designated to be exempt from the regulations?

☐ Yes Provide Exemption(s) #: ☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6

☐ No Provide Assurance #, if available:

c. If applicable, please attach your "Exempt Research" or "Nonexempt Research" narrative to this form as indicated in the definitions page in the attached instructions.

| | | | |
|--|----------------|-------------------|-----------------|
| | Add Attachment | Delete Attachment | View Attachment |
|--|----------------|-------------------|-----------------|

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

* APPLICANT'S ORGANIZATION

WestEd

* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix: Mr. * First Name: Michael Middle Name:
* Last Name: Neuenfeldt Suffix:
* Title: Deputy Chief Financial Officer

* SIGNATURE: Completed on submission to Grants.gov

* DATE: Completed on submission to Grants.gov

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352

OMB Number: 4040-0013
Expiration Date: 02/28/2022

| | | |
|--|--|--|
| 1. * Type of Federal Action: <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance | 2. * Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award | 3. * Report Type: <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change |
| 4. Name and Address of Reporting Entity: <input checked="" type="checkbox"/> Prime <input type="checkbox"/> SubAwardee * Name: <input type="text" value="WestEd"/> * Street 1: <input type="text" value="730 Harrison Street"/> Street 2: <input type="text"/> * City: <input type="text" value="San Francisco"/> State: <input type="text" value="CA: California"/> Zip: <input type="text" value="94107-1242"/> Congressional District, if known: <input type="text"/> | | |
| 5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime: | | |
| 6. * Federal Department/Agency: <input type="text" value="U.S. Department of Education"/> | 7. * Federal Program Name/Description: <input type="text" value="Comprehensive Centers"/> CFDA Number, if applicable: <input type="text" value="84.283"/> | |
| 8. Federal Action Number, if known: <input type="text"/> | 9. Award Amount, if known: \$ <input type="text"/> | |
| 10. a. Name and Address of Lobbying Registrant: Prefix <input type="text"/> * First Name <input type="text" value="n/a"/> Middle Name <input type="text"/> * Last Name <input type="text" value="n/a"/> Suffix <input type="text"/> * Street 1 <input type="text" value="n/a"/> Street 2 <input type="text"/> * City <input type="text" value="n/a"/> State <input type="text"/> Zip <input type="text"/> | | |
| b. Individual Performing Services (including address if different from No. 10a) Prefix <input type="text"/> * First Name <input type="text" value="n/a"/> Middle Name <input type="text"/> * Last Name <input type="text" value="n/a"/> Suffix <input type="text"/> * Street 1 <input type="text" value="n/a"/> Street 2 <input type="text"/> * City <input type="text" value="n/a"/> State <input type="text"/> Zip <input type="text"/> | | |
| 11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. * Signature: <input type="text" value="Completed on submission to Grants.gov"/> * Name: Prefix <input type="text" value="Mr."/> * First Name <input type="text" value="Michael"/> Middle Name <input type="text"/> * Last Name <input type="text" value="Neuenfeldt"/> Suffix <input type="text"/> Title: <input type="text" value="Deputy Chief Financial Officer"/> Telephone No.: <input type="text" value="(b)(4)"/> Date: <input type="text" value="Completed on submission to Grants.gov"/> | | |
| Federal Use Only: | | Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97) |

U.S. DEPARTMENT OF EDUCATION
BUDGET INFORMATION
NON-CONSTRUCTION PROGRAMS

OMB Number: 1894-0008
Expiration Date: 08/31/2020

Name of Institution/Organization

WestEd

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS

| Budget Categories | Project Year 1 (a) | Project Year 2 (b) | Project Year 3 (c) | Project Year 4 (d) | Project Year 5 (e) | Total (f) |
|--------------------------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|--------------|
| 1. Personnel | (b)(4) | | | | | |
| 2. Fringe Benefits | | | | | | |
| 3. Travel | | | | | | |
| 4. Equipment | | | | | | |
| 5. Supplies | | | | | | |
| 6. Contractual | | | | | | |
| 7. Construction | | | | | | |
| 8. Other | | | | | | |
| 9. Total Direct Costs (lines 1-8) | | | | | | |
| 10. Indirect Costs* | | | | | | |
| 11. Training Stipends | | | | | | |
| 12. Total Costs (lines 9-11) | | | | | | |

***Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? ☒ Yes ☐ No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: 12/01/2018 To: 11/30/2019 (mm/dd/yyyy)

Approving Federal agency: ☒ ED ☐ Other (please specify):

The Indirect Cost Rate is (b)(4)

(3) If this is your first Federal grant, and you do not have an approved indirect cost rate agreement, are not a State, Local government or Indian Tribe, and are not funded under a training rate program or a restricted rate program, do you want to use the de minimis rate of 10% of MTDC? ☐ Yes ☐ No If yes, you must comply with the requirements of 2 CFR § 200.414(f).

(4) If you do not have an approved indirect cost rate agreement, do you want to use the temporary rate of 10% of budgeted salaries and wages?
☐ Yes ☐ No If yes, you must submit a proposed indirect cost rate agreement within 90 days after the date your grant is awarded, as required by 34 CFR § 75.560.

(5) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

☐ Is included in your approved Indirect Cost Rate Agreement? Or, ☐ Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is %.

| | |
|----------------------------------|---|
| Name of Institution/Organization | Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form. |
| WestEd | |

**SECTION B - BUDGET SUMMARY
NON-FEDERAL FUNDS**

| Budget Categories | Project Year 1 (a) | Project Year 2 (b) | Project Year 3 (c) | Project Year 4 (d) | Project Year 5 (e) | Total (f) |
|--------------------------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|--------------|
| 1. Personnel | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| 2. Fringe Benefits | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| 3. Travel | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| 4. Equipment | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| 5. Supplies | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| 6. Contractual | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| 7. Construction | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| 8. Other | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| 9. Total Direct Costs (lines 1-8) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| 10. Indirect Costs | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| 11. Training Stipends | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| 12. Total Costs (lines 9-11) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

SECTION C - BUDGET NARRATIVE (see instructions)

ED 524

NOTICE TO ALL APPLICANTS

OMB Number: 1894-0005
Expiration Date: 04/30/2020

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may

be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.
- (4) An applicant that proposes a project to increase school safety might describe the special efforts it will take to address concern of lesbian, gay, bisexual, and transgender students, and efforts to reach out to and involve the families of LGBT students.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Public Law 103-382). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1894-0005.

Optional - You may attach 1 file to this page.

WestEd_GEPA_Region_15_CC.pdf

Add Attachment

Delete Attachment

View Attachment

WestEd—GEPA (General Education Provisions Act), Section 427 Assurances

In accordance with Section 427 of the Department of Education’s General Provision Act (GEPA), WestEd will ensure equal access and participation to all persons regardless of their race, color, ethnicity, religion, national origin, gender, age, citizenship status, or disability to the programs and services offered through the *Region 15 Comprehensive Center* project.

WestEd will comply with all federal and state laws and regulations designed to ensure equitable access to all project participants and to overcome barriers to equitable participation. WestEd will take all steps necessary, whether by required notices, outreach activities, or otherwise, to achieve these goals. Examples of steps we will take to ensure equitable access include the following:

- All activities and events will be ADA compliant;
- Center staff will coordinate with local education agency and state educational agency partners to arrange for translation or ASL interpretation services, as needed;
- All published materials will be compliant with Section 508 of the National Rehabilitation Act;
- Information and consent documents will be translated into home languages of stakeholders, as needed; and
- Partner organizations will share WestEd’s commitment to equity and non-discrimination and will work collaboratively to ensure that all individuals involved in the field have equal access to, and opportunity to participate in, project activities.

For the *Region 15 Comprehensive Center* project, WestEd is ready to support Arizona, California, Nevada, and Utah effectively, efficiently, and immediately to:

- deepen implementation of current successful improvement efforts related to Consolidated State ESSA Plans, including use of evidence-based practices in rural areas; and
- support implementation of emerging/shifting priorities resulting from changes in leadership and/or new state and federal statutes and policy.

In addition, WestEd will collaborate with the National Center to implement regional projects, identify trends and best practices, and use cost-effective strategies to make the work of the National Center available to Region 15 clients and recipients.

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee- 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

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Standard Form 424B (Rev. 7-97)
Prescribed by OMB Circular A-102

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
19. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

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| Completed on submission to Grants.gov | Deputy Chief Financial Officer |
| APPLICANT ORGANIZATION | DATE SUBMITTED |
| WestEd | Completed on submission to Grants.gov |

Standard Form 424B (Rev. 7-97) Back

Abstract

The abstract narrative must not exceed one page and should use language that will be understood by a range of audiences. For all projects, include the project title (if applicable), goals, expected outcomes and contributions for research, policy, practice, etc. Include population to be served, as appropriate. For research applications, also include the following:

- Theoretical and conceptual background of the study (i.e., prior research that this investigation builds upon and that provides a compelling rationale for this study)
- Research issues, hypotheses and questions being addressed
- Study design including a brief description of the sample including sample size, methods, principals dependent, independent, and control variables, and the approach to data analysis.

[Note: For a non-electronic submission, include the name and address of your organization and the name, phone number and e-mail address of the contact person for this project.]

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* Attachment:

Project Abstract: Region 15 Comprehensive Center

This proposal presents WestEd’s plan to operate the Region 15 Comprehensive Center, in response to the *Application for New Grants Under the Comprehensive Centers Program (CFDA 84.283B)*, beginning October 1, 2019. It addresses Absolute Priority 1: Regional Centers, as well as Competitive Preference Priorities 2 and 3 for Regional Centers.

With a Co-Director who served as the Deputy Superintendent of the California Department of Education, another Co-Director who served as the Nevada State Superintendent of Public Instruction, and experienced staff who reside in each state of Region 15, WestEd’s Region 15 CC is prepared to deliver high-quality, intensive, capacity-building technical assistance (TA) on day one of the new grant period. Our subcontractors — the Academic Development Institute (ADI), the Utah Education Policy Center, and the University of Virginia Partnership for Leaders in Education — will enhance and supplement our services.

To help clients address ongoing, as well as new, challenges, WestEd will provide TA and support in areas that directly relate to states’ approved ESSA Consolidated State Plans. WestEd staff have worked side-by-side with state education agency (SEA) staff in the region to conceptualize and develop their states’ ESSA plans; as the Region 15 CC, we will continue to support SEAs in the implementation of these plans. As the conceptual framework for the Region 15 CC illustrates, WestEd’s goal is to build the capacity of clients and recipients to make evidence-based decisions that support and improve opportunities and outcomes for all students, particularly those in schools identified for Comprehensive, Targeted, and Additional Targeted Support and Improvement (CSI, TSI, and ATSI schools). Region 15 staff understand the approach that each state is taking to guide local education agencies in the selection and use of evidence-based practices. We are proposing to provide customized support to each SEA to move

these efforts forward, including implementation and scaling-up of interventions that address the unique obstacles faced by rural populations.

Our review of findings from audits and monitoring visits conducted by the U.S. Department of Education indicates that each state in the region has had programmatic findings that required corrective action. WestEd's Region 15 CC staff have the knowledge and skills to help SEAs address findings that require corrective action if they request assistance in the future.

Further, WestEd proposes multiple projects that will involve collaboration with the National Center. For example, working with the National Center and our subcontractor ADI, we propose a project that focuses on meeting the challenges of rural, remotely located schools. We will work with the National Center to identify trends and best practices, and will use cost-effective strategies to make the work of the National Center available to Region 15 clients and recipients.

To address the second competitive preference priority, WestEd proposes multiple TA projects, including: creation and delivery of turnaround leadership development programs focused on the lowest-performing schools in each state; building and sustaining educator pipelines; and continuous improvement of educator effectiveness systems. To address the third competitive preference priority, WestEd proposes to examine issues related to charters and choice in rural settings and to deliver professional learning opportunities related to personalized learning for rural schools.

Our proposal addresses these priorities throughout the application narrative, which is organized around the selection criteria. As the letters of support in the Other Attachments Form indicate, chief state school officers in each state in the region endorse our application, as do numerous other education leaders in the region.

Project Narrative File(s)

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Region 15 Comprehensive Center

Submitted to:
**U.S. Department of
Education**

May 24, 2019

CFDA 84.283B
OMB Number: 1894-0006

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Introduction

WestEd is pleased to submit this proposal to be the Region 15 Comprehensive Center (CC), serving the states of Arizona, California, Nevada, and Utah. This is WestEd's response to *Absolute Priority 1 — Regional Centers* and includes our responses to *Competitive Preference Priorities 2 and 3* as outlined in the Application for New Grants Under the Comprehensive Centers Program, CFDA 84.283B.

The reauthorization of the Elementary and Secondary Education Act (ESEA), as amended by the Every Student Succeeds Act (ESSA), provides states with greater flexibility and a commensurate increase in responsibility. ESSA calls upon state education agencies (SEAs) to simultaneously transform accountability systems and provide more support for all districts and schools to improve, especially those identified for comprehensive and targeted assistance. SEAs must also ensure that their states' students have equitable and strategic access to effective teachers and other resources that support a quality education. Finally, ESSA highlights the role of the SEA in ensuring that all students have the full range of opportunities needed for success in college, careers, and life, including increasing educational choices for students and families (ESSA, 2015).

As the current provider for the California Comprehensive Center (CA CC) and the West Comprehensive Center (WCC), WestEd has supported Region 15 SEAs as they continue to implement the visions captured in their approved ESSA Consolidated State Plans. We are helping SEAs develop this work, both internally and externally, by using a continuous improvement conceptual framework — a set of iterative and reflective processes to assess and reassess needs, strategies, progress, and outcomes. Effectively using a continuous improvement framework to add technical assistance (TA) support to SEAs' ongoing compliance functions

poses significant organizational challenges for SEAs. Not only do they have to do different work; they have to do their work differently. Existing organizational structures and/or internal operations may no longer be the most appropriate or effective means to meet the needs and context of the current environment. WestEd’s innovative and intensive TA to the Region 15 states seeks to increase their leadership capacity — as well as their human, organizational, policy, and resource capacity — in ways that will lead to sustained systems-change.

(b)(4)

The challenges that SEAs face are both *technical*, requiring specific and known solutions to achieve success, and *adaptive*, requiring conceptual shifts in order to achieve desired results. Skillful, responsive, and intentional capacity-building services are required to equip SEA staff with the requisite skill sets and mindsets to successfully navigate the often uncharted waters within school and district improvement, student learning, and systems-change.

Transforming low-performing schools and districts to increase opportunity for all children, particularly those with the highest need, is at the core of WestEd’s Region 15 Center’s mission. The Center’s proposed work will focus on underserved students — students living in poverty and rural areas; students in racial groups characterized by persistently poor academic outcomes, e.g., African American, American Indian, and Latino students; English learners; and students with disabilities — so that these students are able to graduate from high school prepared for college and careers.

The urgency of this work requires a Center that is ready to launch on day one and that is hard-wired to be performance- and results-driven. WestEd staff and experts will use their long

history of successful TA in the Region 15 states to operate such a Center. It will be led by talented, committed, and innovative staff who have already built strong relationships with SEA professionals, as well as with the region's educators, and who are ready to use the Center's resources wisely and strategically to achieve the greatest impact at the state, district, school, and community levels. To enhance our efforts, we have partnered with the Academic Development Institute (ADI), the Utah Education Policy Center (UEPC), and the University of Virginia Partnership for Leaders in Education (UVA PLE), who will supplement our services in key regional areas of need. As evidenced in our letters of support from the region's SEAs and other key organizations and local education agencies (LEAs) (see the Other Attachments Form), WestEd and its subcontractors have the full support of stakeholders in Region 15 to lead this Center.

We are ready to support our states, effectively, efficiently, and immediately, to:

1. Deepen implementation of current successful improvement efforts, in order to scale and sustain them; and
2. Support implementation of emerging/shifting priorities resulting from changes in leadership or from new state and/or federal statutes and policies.

This proposal identifies priority needs that are common to all four Region 15 states and proposes innovative state-specific and regional projects to address them. It also describes how we will use research and evidence to inform our TA to support implementation. Table I.1 provides a roadmap for this proposal, to help readers locate WestEd's responses to specific selection criteria, absolute and competitive priorities, as well as application and program requirements.

Table I.1: Region 15 CC Proposal Roadmap

| Section/Selection Criteria | Application Requirements | Program Requirements | Priorities |
|---|---|---|--|
| A. Significance | 1) Regional needs 2) Knowledge of ESSA 4) Research base 7) Logic model | 1) Five-Year Plan | <i>Absolute Priority</i> <i>1.1) Carrying out ESSA plans</i> <i>Absolute Priority</i> <i>1.3) Audit and monitoring findings</i> <i>Competitive</i> <i>Preference Priority 2</i> <i>Competitive</i> <i>Preference Priority 3</i> |
| B. Project Design 2.i. Conceptual framework 2.ii. Leverage efforts 2.iii. Collaborate with partners | 5) Communications plan 8) Transfer resources to National Center 3) TA expertise | 3) Communications system 4) National Center collaboration | <i>Absolute Priority</i> <i>1.2) Implementing EBPs</i> <i>Absolute Priority</i> <i>1.4) Working with the National Center</i> |
| C. Project Personnel 2. Employment from under-represented groups 3.i. Project directors 3.ii. Key personnel | 3) Management expertise | 2) Personnel management system 5) Partnerships 6) Location and FTE commitment 7) Partner commitments | |
| D. Project Evaluation 2.i. Continuous feedback 2.ii. Performance measures | 6) Evaluation plan | | |

Section A: Significance addresses the *what* of our proposed work, its content, direction, and rationale based on our understanding of the Region’s most pressing educational needs and challenges. Section B: Quality of the Project Design describes the *how* of our proposed work by describing how we will operationalize our logic model to deliver high-quality, intensive, capacity-building TA using a continuous improvement cycle. Section C: Quality of Project Personnel identifies *who* will lead and staff our efforts, their qualifications, and WestEd’s

approach to selecting staff with the necessary management and TA expertise to address the Region's needs. Section D: Quality of the Project Evaluation focuses on *how well* we do the work by outlining a formative and summative evaluation plan for the Region 15 CC.

Throughout this proposal, we include examples of WestEd's work, to illustrate its quality, relevance, and usefulness to our clients. We also feature quotes from current clients, taken from recent WCC and CA CC evaluations. In its entirety, this proposal demonstrates that WestEd is the best-qualified applicant to operate the Region 15 CC.

Section A: Significance

This section addresses the significance of our proposed work — including its content, direction, and rationale — based on our understanding of Region 15’s most pressing educational needs and challenges.

In this section, we:

- Summarize the context and needs of states in the region;
- Present our Five-Year Plan, including key projects, designed to reflect and address the states’ needs and priorities;
- Detail our plan to address to Competitive Preference Priorities 2 and 3; and
- Explain our Region 15 logic model and the research that supports it.

Regional and State Overview (*Application Requirement 1*)

Region 15 is among the nation’s most geographically large and demographically diverse, including a significant concentration of Native American youths. It includes more than eight million K–12 students, in the full range of urban, suburban, and rural school settings. Diverse demographics pose challenges for equitable access to high-quality learning across all states in the region. While their schools have much in common — e.g., effectively serving student populations that have higher proportions of students of color and poor students than the nation as a whole — the states also have significant differences, especially related to size. WestEd’s proposed CC staff have the expertise to both bring these four states together to address common problems of practice and provide TA tailored to each state’s specific needs and capacity. The following data demonstrate the breadth and depth of Region 15 educational needs. Additional data analysis can be found in Appendix B.

Geography and Population

The geographically varied states of Region 15 span 369,738 square miles and include large areas of desert, mountains, coastlines, farmland, reservation land, and densely populated urban areas. Overall, the region includes 52.3 million residents of Arizona, California, Nevada, and Utah, and each state's population continues to grow. While all four states have significant rural regions, the majority of each state's residents are concentrated in several densely populated metropolitan areas where major industries are located. Nevada's and Utah's populations of around 3 million stand in stark contrast to the almost 40 million people living in California.

Economics and Education Funding

During the 2008–12 recession, all Region 15 states experienced significant downturns in state and local resources, which translated into dramatic reductions in per-pupil funding. Most have regained pre-recessionary spending levels (adjusting for inflation), but these states remain among the lowest funded (on a per-student basis), especially when adjusted for regional cost differences. According to *Quality Counts 2018*, all four Region 15 states spent significantly below the national per-pupil spending average of \$12,256, with Utah ranked lowest in the U.S. (\$7,207), Arizona third from the bottom (\$8,131), and Nevada (\$8,801) and California (\$9,417) in the bottom quartile (Lloyd, 2018).

Political and SEA Context

Three of the four Region 15 states have experienced recent changes in key state leadership, including the governor, the chief state school officer, and/or the head of the state board of education. This has prompted concerns that important initiatives may be delayed, altered, or abandoned, with likely restructuring of SEAs and transitions to new leadership teams. With distinct education governance structures, all four states are known for a focus on local control.

Commensurate with their differing populations, the four SEAs in Region 15 have markedly different staff sizes.

Student Population: Distribution and Demographics

As shown in Table A.1, all of the states in the region educate student populations that have higher proportions of students in poverty than the nation as a whole. High poverty rates are associated with higher-than-expected rates of absence, trauma, health, and mobility, which often hinder academic progress and overall well-being. Additionally, Arizona, California, and Utah have significantly higher proportions of Hispanic and English learner students than the nation.

Table A.2 demonstrates the range in numbers of schools and students in Region 15 states.

Table A.1: Region 15 State Student Demographics (2017–18)¹

Students by Ethnic Group

| | <i>African American / Black</i> | <i>American Indian / Alaska Native</i> | <i>Asian</i> | <i>Hispanic</i> | <i>Hawaiian Native / Pacific Islander</i> | <i>White</i> | <i>Two or More Races</i> |
|----------------------|---|--|--------------|-----------------|---|--------------|----------------------------------|
| <i>Nation</i> | 15.3% | 1.0% | 5.1% | 26.3% | 0.4% | 47.5% | 3.0% |
| AZ | 8.0% | 7.0% | 3.0% | 41.0% | 0.1% | 44.0% | 4.0% |
| CA | 5.5% | 0.6% | 11.6% | 54.3% | 0.1% | 23.2% | 3.5% |
| NV | 11.1% | 0.9% | 5.5% | 42.4% | 0.1% | 32.5% | 6.2% |
| UT | 1.0% | 1.0% | 2.0% | 17.0% | 2.0% | 74.0% | 3.0% |

Students by Special Population

| | <i>English Learners</i> | <i>Students with Disabilities</i> | <i>Students in Poverty*</i> | <i>Rural Students</i> |
|----------------------|-----------------------------|---------------------------------------|---------------------------------|---------------------------|
| <i>Nation</i> | 9.5% | 13.6% | 24.0% | 49.9% |
| AZ | 8.8% | 15.6% | 58.5% | 35.0% |
| CA | 20.4% | 12.5% | 60.1% | 3.1% |
| NV | 16.8% | 12.3% | 57.7% | 1.7% |
| UT | 7.0% | 13.0% | 35.0%** | 4.7% |

*free or reduced-price lunch eligible; **socioeconomically disadvantaged

¹ Nation: <https://nces.ed.gov/fastfacts/display.asp?id=372>
 AZ: www.azed.gov/finance/files/2017/01/safr2016.zip
 CA: <https://www.cde.ca.gov/ds/sd/cb/ceffingertipfacts.asp>
 NV: <http://www.nevadareportcard.com/DI/nv>
 UT: <https://www.schools.utah.gov/file/5e1d0ce7-c96e-435c-915c-12c92f80bae7> ,
<https://utahschoolgrades.schools.utah.gov/home/StateProfile>

Table A.2: LEA, School, Teacher, and Student Counts (2017-18) ²

| State | Public Schools | LEAs | Public School Students | Teachers |
|-------|----------------|-------|------------------------|----------|
| AZ | 1,745 | 638 | 951,380 | 49,260 |
| CA | 10,473 | 1,026 | 6,220,413 | 313,989 |
| NV | 722 | 18 | 485,768 | 26,515 |
| UT | 1,113 | 42 | 659,909 | 28,713 |

Effective Educators

States in Region 15 are facing teacher shortages and compensation challenges. Arizona, Nevada, and Utah all have lower starting salaries than the national average — for both new and experienced teachers (across all years of experience). Moreover, recent survey data indicate that all four states currently face critical teacher shortages. Increasing the supply of quality teachers stands as a high priority for the region and as a foundational condition for providing students with quality learning experiences that lead to positive outcomes.

ESSA Priorities and Plans

Academic proficiency and postsecondary readiness are overarching priorities in state ESSA plans and strategic plans. Region 15 states' National Assessment of Educational Progress (NAEP) results, shown in Table A.3, and graduation rates, shown in Table A.4, illustrate the dimensions of the need identified in the region's state ESSA plans. In all four states, graduation-rate gaps between historically disadvantaged subgroups and their more advantaged peers persist. In addition, as shown in Appendix B, all four states have gaps across the performance of student subgroups (racial groups, students qualifying for free or reduced-price lunch, students with disabilities, and English learners) on NAEP reading and mathematics tests.

² AZ: www.azed.gov/finance/files/2017/01/safr2016.zip
CA: <https://www.cde.ca.gov/ds/sd/cb/ceffingertipfacts.asp>
NV: <http://www.nevadareportcard.com/DI/nv>, http://www.doe.nv.gov/Special_Education/Reports/Child_Counts/,
<https://datacenter.kidscount.org/data/customreports/4428/any>
UT: <https://www.schools.utah.gov/file/5e1d0ce7-c96e-435c-915c-12c92f80bae7>,
<https://utahschoolgrades.schools.utah.gov/home/StateProfile>

Table A.3: Differences in Percentages of Students in Each State Scoring at or above Proficient Level on the NAEP Assessments, Compared to the National Average³

| | Mathematics, Grade 4 | Mathematics, Grade 8 | Reading, Grade 4 | Reading, Grade 8 | Science, Grade 4 | Science, Grade 8 |
|---------------|-------------------------|-------------------------|---------------------|---------------------|---------------------|---------------------|
| <i>Nation</i> | 40% | 34% | 37% | 36% | 38% | 34% |
| AZ | -6 | 0 | -7 | -6 | -6 | -10 |
| CA | -9 | -5 | -6 | -4 | -14 | -10 |
| NV | -9 | -7 | -6 | -8 | -14 | -7 |
| UT | +5 | +5 | +4 | +2 | +7 | +16 |

Table A.4: High School Graduation Rates, by Race/Ethnicity, in Region 15 States (2016–17)⁴

| | <i>Overall</i> | <i>White</i> | <i>African American</i> | <i>Hispanic</i> | <i>Asian</i> | <i>Hawaiian Native / Pacific Islander</i> | <i>American Indian / Alaska Native</i> |
|---------------|----------------|--------------|-----------------------------|-----------------|--------------|---|--|
| <i>Nation</i> | 84% | 88.6% | 77.8% | 80% | 91.2% | 72% | |
| AZ | 78% | 82.8% | 73.8% | 74.5% | 89%* | --* | 66.8% |
| CA | 82.7% | 87.3% | 73.1% | 80.3% | 93.1% | 91.3% | 68.2% |
| NV | 80.9% | 84.2% | 67.7% | 79.7% | 93% | 82% | 74% |
| UT | 86% | 88.3% | 73% | 77.3% | 89% | 86% | 74% |

*AZ combines Asian and Hawaiian Native/Pacific Islander into one total group for graduation rates.

Low-performing and Underperforming Schools

Under ESSA, states must create a system of support for schools in need of intervention, with schools identified using one of three designations: comprehensive support and improvement (CSI), targeted support (TSI), and additional targeted support and improvement (ATSI). While each state takes a different approach in determining improvement status, Table A.5 indicates all four states have significant numbers of schools identified as low or underperforming. Overall,

³ Mathematics and Reading data are taken from the 2017 NAEP administration. Science data are taken from the 2015 NAEP administration. Percentage of Students in Each State Scoring at or Above Proficient Level on the NAEP Assessments, Compared to National Average

<https://www.nationsreportcard.gov/profiles/stateprofile/overview/AZ;>

<https://www.nationsreportcard.gov/profiles/stateprofile/overview/CA;>

<https://www.nationsreportcard.gov/profiles/stateprofile/overview/NV;>

<https://www.nationsreportcard.gov/profiles/stateprofile/overview/UT;>

<https://www.nationsreportcard.gov/>

⁴ https://nces.ed.gov/ccd/tables/ACGR_RE_and_characteristics_2016-17.asp

the identified CSI, TSI and ATSI schools in Region 15 educate well over a million students. This highlights the scale of effort and wide-ranging TA that the region’s SEAs require to address the needs of students in these CSI, TSI, and ATSI schools. Improving low-performing and underperforming schools and districts to increase outcomes for all students is at the core of the SEAs’ work and will be a focus of WestEd’s Region 15 CC efforts. To transform these schools and districts, SEAs must address equitable access, educator effectiveness, improved student learning, accountability systems, and their own infrastructure needs.

Table A.5: ESSA Improvement Status (Schools Designated as CSI, TSI, or ATSI) (2018-19)⁵

| | CSI Schools | TSI Schools | ATSI Schools | Total Number of Schools Designated | Percentage of Schools Designated |
|------------------|-------------|-------------|--------------|------------------------------------|----------------------------------|
| Region 15 | 1,164 | 1,160 | 962 | 3,286 | 24% |
| AZ | 201 | 820 | 0 | 1,021 | 51% |
| CA | 781 | 0 | 859 | 1,640 | 17% |
| NV | 147 | 10 | 103 | 260 | 36% |
| UT | 35 | 330 | 0 | 365 | 33% |

Shared Needs and Priorities in Region 15

Based upon analyses of the data shown in the previous section, a review of 2016 Regional Advisory Committee report findings, and WestEd’s recent discussions with SEA executive leadership in each of the Region 15 states, we have identified five common *priority needs* that align to state ESSA plans for Region 15. By focusing on these five priority needs as shown in Table A.6, the Center will support SEAs to accomplish the overarching goal of ESSA: improvement of *low-performing and underperforming LEAs and schools*, which primarily serve traditionally disadvantaged populations.

⁵ CSI, TSI, ATSI: <https://www.cep-dc.org/displayDocument.cfm?DocumentID=1504>

Table A.6: Region 15 Priority Needs

| Priority Needs | Description |
|---|--|
| <i>Equitable Access</i> | Advance equitable access to educational opportunities, choices, and resources that improve learning outcomes for all students, with a focus on students with disabilities; cultural, racial, and linguistic differences; and/or disadvantaged socioeconomic backgrounds. |
| <i>Educator Excellence</i> | Amplify access to effective educators and leaders through high-quality preparation, recruitment, placement, and retention practices, and cultivate continuous improvement through relevant professional learning and evaluation. |
| <i>Improved Student Learning</i> | Elevate student learning and well-being, from early childhood through graduation and college and career readiness, with attention to students' personalized learning needs and assets. |
| <i>Implementing Accountability Systems</i> | Establish standards and indicators that shape the foundation for continuously improving assessment and accountability systems, reporting, and data use. |
| <i>SEA Infrastructure</i> | Operate coherent and aligned systems by strengthening SEA organizational management, efficiencies, and productivity, including funding and resource allocation. |

Region 15 Five-Year Plan (*Program Requirement 1, Absolute Priorities 1.1 & 1.3*)

These identified priority needs form the basis of our Five-Year Plan for intensive capacity-building TA in Region 15. As shown in Table A.7, our Five-Year Plan includes, for each of the five areas of priority need, a description of one of the high-leverage problems we will address in the area of need, a related key strand of work, and expected short-term, mid-term, and long-term outcomes of each work strand. The outcomes all address improving the human, organizational, policy, and resource capacity of SEAs, Regional Education Agencies (REAs), and Local Education Agencies (LEAs). Once the grant is awarded, we will use these elements of our Five-Year Plan to develop Annual State Service Plans with each chief state school officer in the region. These annual plans will form the basis for our helping SEAs address high-leverage

problems and for creating significant and sustainable change and improvement. For more detail on each of these work strands including milestones, capacity-building services, and outputs, see Appendix C.

Table A.7: Five-Year Plan for One High-Leverage Problem in Each Priority Need

| <i>Equitable Access</i> | | | |
|--|---|--|--|
| High-Leverage Problem: To improve access to rigorous curricula and quality instruction for dual language learners/English learners, states need coherent and interrelated policies and resources that aid practitioners in decisions related to reclassification from dual language learners/English learners status and tracking progress in attaining English language proficiency. | | | |
| Key Work Strand: Build SEA capacity to sustain, scale, and deepen implementation of policies and resources focused on improving academic outcomes for dual language learners/English learners in grades preschool through twelve. | | | |
| Short-Term Outcome: Clearer policies, guidance, and resources from SEAs aimed at improving academic outcomes for dual language learners/English learners. | Mid-Term Outcome: Districts adopt new policies and report increased numbers of reclassification from dual language learner/English learner status. | Long-Term Outcome: Districts with intensive supports report gains in math and ELA achievement for dual language learner/English learner students that have been reclassified. | |

| <i>Educator Excellence</i> | | | |
|--|--|--|--|
| High-Leverage Problem: States need to support and retain educators, at all levels, who have the knowledge, skills, and dispositions to improve outcomes for all student populations. | | | |
| Key Work Strand: Build SEA capacity to guide and support LEAs to develop and implement high-quality professional learning (PL) systems that result in continuously improving educator performance to increase access to and retention of effective educators. | | | |
| Short-Term Outcome: Increased SEA and LEA understanding of evidence-based PL systems and the related implementation steps. | Mid-Term Outcome: Clearly articulated LEA PL systems that have goals and strategies to initiate, implement, and scale effective PL practices. | Long-Term Outcome: Growth in measures of teacher professional learning; gains in reports of teacher and school leader satisfaction; and gains in teacher and school leader retention rates. | |

Improved Student Learning

High-Leverage Problem: To provide viable pathways for all students to graduate college- and career-ready, SEAs, LEAs, and partners must collaborate on options that link academic and workplace learning with students' assets and personal goals.

Key Work Strand: Build SEA capacity to convene and sustain a network of K–12, community college, and university educators and business and industry employers, that is focused on using extant data and evidence-based and promising practices, along with student voice, to coalesce strategies directed toward increasing the effectiveness of state and local career/technical education (CTE) pathways.

Short-Term Outcome: Evidence of education and industry collaboration in support of student learning such as assessments of current links between academic and workforce learning, gaps in the system, and reviews of potential evidence-based programs to address such gaps.

Mid-Term Outcome: New processes and policies in place to systemically gather and include student perspectives in designing, updating, and personalizing CTE pathway options. Evidence of stronger partnerships among education, business, and other organizations to deliver CTE pathway options.

Long-Term Outcome: Growth in the delivery of and access to CTE pathway options, particularly for diverse student populations and under-served communities. Evidence that participating students show gains in academic and skill achievement, engagement, and graduation rates.

Implementing Accountability Systems

High-Leverage Problem: State accountability systems are dynamic, as district and school needs change, new data are available, policies shift, accountability systems must be evaluated, revisited, and adjusted as necessary to align with the system's intended signals of and expectations for continuous improvement.

Key Work Strand: Build SEA capacity to monitor, analyze, and refine state accountability systems and associated policies to more precisely and equitably identify low and underperforming schools served by statewide systems of support.

Implementing Accountability Systems (Cont.)

Short-Term Outcome: Increased SEA capacity to develop, communicate, and refine internal organizational policies and structures related to the statewide accountability system; increased SEA human capacity to communicate about, disseminate, and enact policies and resources aimed at improving equity through accountability.

Mid-Term Outcome: State activities to monitor, analyze, and refine statewide accountability systems in ways that reflect stakeholder feedback and refine progress reports on state goals.

Long-Term Outcome: Evidence of state, local and school actions, particularly in those identified for school improvement, that have been informed by accountability measures and result in gains in educator capacity, and improvements in measures of student achievement, engagement, and well-being.

SEA Infrastructure

High-Leverage Problem: States need coherent and aligned policies to develop and implement statewide systems of support to improve the performance of chronically underperforming schools.

Key Work Strand: Improve SEA capacity to support low and underperforming schools in using evidence-based decision-making to improve outcomes for disadvantaged students.

Short-Term Outcome: Clearly articulated goals and systems of support for low-performing schools.

Mid-Term Outcome: Guidance and support for intermediary and district leaders who are supporting school improvement efforts.

Long-Term Outcome: Evidence of gains in student performance measures among CSI/TSI/ATSI schools.

Table A.8 summarizes projects that the Region 15 CC proposes to undertake in each state to support implementation of the states' respective ESSA plans and to address high-leverage problems, as well as projects that will be offered to the region as a whole. It also indicates which *absolute* and *competitive priorities* will be addressed by each project. The proposed projects demonstrate the range of activities planned by the Region 15 CC. Some of these projects will be new in 2019–20 and therefore are in the exploration or installation stages of implementation. Others are ongoing projects that are in later stages of implementation (e.g., initial or full implementation) and are ready for deep implementation efforts that scale them and lead to sustainability.

Table A.8: Region 15 Proposed Projects by Priority Need

| Project | State(s) | ABSOLUTE PRIORITY* | | | COMPETITIVE PRIORITY | | |
|---|--------------|--------------------|-------------------|-----------------|----------------------|---------------------|--------------------|
| | | ESSA/State Plan | Rural Populations | National Center | Effective Leaders | Effective Educators | Educational Choice |
| EQUITABLE ACCESS | | | | | | | |
| Meeting the Challenges of Rural, Remotely Located Schools | Regional | | X | X | | | X |
| English Learner Standards, Policy, and Practice Development | AZ, CA | X | | | X | X | |
| Migrant Programs’ Needs Assessment | CA | X | X | | | | X |
| EDUCATOR EXCELLENCE | | | | | | | |
| Educator Shortages and Pipeline Development | Regional | X | | X | X | X | |
| Continuous Improvement of Educator Effectiveness Systems | Regional | | | | | | |
| Turnaround Leader Development | Regional, AZ | X | X | | | X | |
| Principal Supervisor Training and Support | AZ | X | | | | X | |
| Placement and Retention of Highly Effective Educators | CA | X | X | | X | X | |

| Project | State(s) | ABSOLUTE PRIORITY* | | | COMPETITIVE PRIORITY | | |
|--|----------|--------------------|-------------------|-----------------|----------------------|---------------------|--------------------|
| | | ESSA/State Plan | Rural Populations | National Center | Effective Leaders | Effective Educators | Educational Choice |
| Revision and Dissemination of Educator Standards | CA | X | | | X | X | |
| Educator Performance Framework Implementation | NV | X | | | X | X | |
| Principal and Principal Supervisor Network | UT | X | X | X | | X | |
| IMPROVED STUDENT LEARNING | | | | | | | |
| Personalized Learning Academy for Rurals | Regional | | X | X | | X | X |
| College and Career Ready Regional Collaborative | Regional | X | | X | | | X |
| Workforce Pathways Joint Advisory Committee | CA | X | | | | | X |
| Access to and Quality of Early Childhood Programs | CA, UT | X | | | | | |
| IMPLEMENTING ACCOUNTABILITY SYSTEMS | | | | | | | |
| Formative Assessment Professional Learning Network | AZ | X | | | X | X | |
| Refinement and Implementation of the Comprehensive Accountability System | CA | X | | | | | |
| Data Visualization and Spatial Analysis | CA | X | | | | | |
| Student Growth Model Refinements | CA | X | | | | | |
| Data Literacy and Use | NV | X | | | | | |
| SEA INFRASTRUCTURE | | | | | | | |
| SEA Executive Leadership Program | Regional | X | | | X | | |
| Organizational Development and Strategic Planning | CA | X | | | | | |
| State System of Support | CA, UT | X | | | | | |
| Fiscal Tool Process Development and Implementation | NV | X | | | | | |

*We have reviewed audit and monitoring findings for each state in Region 15; a summary of findings that required corrective action can be found in Appendix D. To this point, the SEAs in Region 15 have not requested our assistance to resolve programmatic audit or monitoring findings. However, we will continue to communicate with SEA leaders to address this issue.

Competitive Preference Priorities (*Competitive Preference Priorities 2 & 3*)

Competitive Preference Priority 2: Promoting Effective Instruction in Classrooms and Schools

As the columns labeled “Effective Leaders” and “Effective Educators” in Table A.8 indicate, we are proposing multiple innovative projects, both state-specific and regional, that will promote effective instruction in Region 15 classrooms and schools. This section briefly describes key projects that will address this competitive preference priority.

1. Promoting innovative strategies to increase the number of students who have access to effective principals or other school leaders.

Research has confirmed what common sense has told us for years: effective leaders matter. The effect of leadership on student learning is second only to classroom instruction (Leithwood, Louis, Anderson, & Wahlstrom, 2004). Research also indicates that a good principal is the single most important determinant of whether a school can attract and keep high-quality teachers (Branch, Hanushek, & Rivkin, 2013; Burkhauser, 2017).

Turnaround Leader Development.

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In addition, we are proposing a regional effort to promote turnaround leader development. Region 15 has significant numbers of CSI, TSI, and ATSI schools. Targeting LEA leaders and the principals of CSI schools in the region, and working with the National Center and the SEAs, we will develop a virtual professional learning network to:

- Explore and help develop the unique competencies that turnaround leaders need (Public Impact, 2008, 2016);
- Identify and explicate school and district roles in turning around low-performing schools, using the Four Domains for Rapid School Improvement (Center on School Turnaround [CST]), 2017);
- Help participants effectively select and use evidence-based practices (EBPs) (Hale, Dunn, Filby, Rice, & Van Houten, 2017); and
- Provide coaching to SEA and LEA participants, as needed.

Virtual convenings of this professional learning network will be archived for future use.

2. Promoting innovative strategies to increase the number of students who have access to effective educators.

The research is clear that teachers are the number one factor connected to student academic achievement and success. The shortage of qualified effective teachers is ubiquitous throughout Region 15. A 2016 survey of 211 California school districts revealed that nearly three-quarters could not find enough qualified teachers to fill their classrooms.⁶ Similarly, survey data from the Arizona School Personnel Administrators Association revealed that 1,547 classrooms in the state had no teachers to start the 2018–19 school year, and 23 percent of these vacancies remained unfilled in January 2019.⁷ Nevada had more than 20 academic disciplines/subject areas designated as teacher shortage areas during the 2017–18 school year.⁸ In a recent survey of Utah district leaders, 48 percent reported starting the school year without a certified teacher in every classroom, and 90 percent reported that the pool of qualified applicants has been shrinking.⁹

Educator Pipeline Development. We propose a series of virtual and face-to-face regional convenings for SEA and LEA leaders to address teacher shortages and build teacher pipelines. Understanding that teacher and leader development and retention are inextricably linked, we will build on lessons learned from our National Talent for Turnaround Leadership Academy (T4TLA), in which we collaborated with two national centers and six regional centers to develop innovative approaches to address educator recruitment and retention in high-need schools. In this academy, regional comprehensive centers supported teams of SEA and LEA representatives from nine states and 14 school districts. The T4TLA network focused on using data to identify

⁶ <https://edsources.org/2018/californias-persistent-teacher-shortage-fueled-by-attribution-high-demand-say-newly-released-studies/602654>

⁷ <https://azpbs.org/horizon/2019/01/teacher-shortage-continues-in-arizona/>

⁸ http://www.doe.nv.gov/uploadedFiles/nde.doe.nv.gov/content/Topic/Teacher_Shortage/USEDMemoApprovedTeacherShortage%20Areas.pdf

⁹ https://daqy2hvnfszx3.cloudfront.net/wp-content/uploads/sites/2/2016/08/24134128/uepc_teacher_shortages.pdf

school improvement strategies in talent development for both teachers and leaders, including recruitment, hiring, retention, and professional learning. The WCC supported the participation of four diverse Arizona districts in this academy. For example, Chinle Unified School District, on a rural, isolated Navajo reservation and with multiple CSI and TSI schools, focused on intensive TA and coaching support for its seven principals, which led to increased retention rates for *both* teachers and leaders, while Globe Unified School District, in a rural mining community and also with multiple CSI and TSI schools, successfully designed and implemented a teacher leadership/mentorship program that improved retention rates for both mentors and new teachers/mentees.

The Region 15 CC will focus the content of the proposed regional convenings on identifying, selecting, and using innovative EBPs for attracting, recruiting, supporting, and retaining effective teachers, particularly in the region's low and underperforming schools. Working with the National Center, we will convene SEA and LEA teams to provide training and support in data analysis; needs assessment and root cause analysis; EBP selection and implementation; and metric analysis to measure progress toward goals. Through the convenings, SEA and LEA participants will develop the knowledge and skills that they need in order to build and maintain a diverse teacher pipeline that will help address the teacher shortages in Region 15.

Continuous Improvement of Educator Effectiveness Systems. Although the four states in the region have different approaches to teacher evaluation, they all have a similar focus on continuous improvement for educator growth. Working with the Center on Great Teachers and Leaders, the WCC and the CA CC have both supported states in the region to strengthen feedback loops, support, and professional learning to improve instructional practice and, ultimately, student outcomes.

Collaborating with the National Center, we will create a regional convening for SEA and LEA teams to assess the strengths and challenges of teacher observation, feedback, and support in their settings. We will also provide examples of EBPs that could work in their contexts, and help teams select and implement the most appropriate intervention for their settings; select assessment tools; and identify and collect metrics that measure progress. Through this regional approach, SEA and LEA participants will share experience and lessons learned as they develop the needed knowledge and skills to ensure the recruitment, continuous improvement, and, ultimately, retention of their educators.

Competitive Preference Priority 3: Empowering Families and Individuals to Choose a High-Quality Education That Meets Their Unique Needs

(i) Children or students in communities served by rural LEAs.

Rural communities and schools present unique challenges for educators, particularly when the district is small (i.e., has low capacity to manage turnaround), is remote (i.e., is distant from support services), and serves a high-poverty population (Schafft, Prins, & Movit, 2008).

The work of the Region 15 CC will also focus on expanding every student's access to a high-quality, personalized path for learning, with particular attention paid to low-income families and students in rural communities. Today, Region 15 states are working on various innovative delivery options beyond traditional programming, including advancing new distance/virtual learning approaches, and expanding public-school choice programs (such as charter and magnet schools). On the public-school choice front, efforts are underway, in some states in the region, to strengthen charter-school authorization practices and to create strategic opportunities for new high-quality charters serving students in poverty and/or students in rural communities with often

limited education options. Opportunities for creating and supporting high-quality charter schools that provide viable options for parents are a priority in all Region 15 states.

Examining Issues Related to Charters and Choice in Rural Settings. Working with the National Center and with rural education associations in each state, we will support states to:

- Conduct a comprehensive needs assessment to identify and map “access deserts” — places where students and families have relatively few educational choice options — in Region 15;
- Examine the root causes of limited access to charter schools and other choice options in these “access deserts”;
- Review charter-school authorizing practices to determine their impact on students’ choices; and
- Identify and share various EBPs and policies that could be adapted and implemented to meet state or local needs related to expanding choice options.

The Region 15 and National Center will document, share, and review findings with SEAs and LEAs teams that participated and others throughout the region. The goal is to provide states with a research-based analysis of needs related to charter schools and choice, as well as a compendium of EBPs to assist them in developing appropriate choice options in rural settings.

Personalized Learning for Rural Schools. In collaboration with ADI and their partner Tribal Education Departments National Assembly (TEDNA) and with the National Center, the Region 15 CC will launch an academy focused on delivering capacity-building services to SEAs, LEAs, REAs, and tribal education agencies (TEAs) serving rural, remotely located schools in communities of poverty. We will work with ADI and with the National Center to develop and deliver professional learning opportunities that strengthen practitioners’ abilities to select and use

evidence-based strategies that enhance students' motivations to learn and persist in school and to build their skills to succeed in school through personalization. Personalization refers to a teacher's relationships with students and their families and to the use of multiple instructional modes to scaffold each student's learning and enhance each student's personal competencies. Personalized learning varies the time, place, and pace of learning for each student, enlists the student in the creation of learning pathways, and utilizes technology to manage and document the learning process (Twyman & Redding, 2015). With ADI and the National Center, we will:

- Convene state teams of representatives from SEAs, REAs, LEAs, and TEAs to develop plans for focused and aligned services that address, through instruction, the unique needs of rural students;
- Conduct monthly virtual meetings with SEA teams to provide TA and support;
- Conduct monthly virtual meetings with state teams to share progress, challenges, and potential solutions;
- Measure and document progress; and
- Develop and distribute practice guides on personalized learning that reflect lessons learned from this project.

WestEd's Region 15 Logic Model and the Research That Supports It

(Application Requirements 4 & 7)

Our Region 15 logic model, shown in Figure A.1 on page 29, adapts the CC program logic model included in the federal priorities, to reflect the unique needs and context of the region. This adapted logic model represents the conditions and outcomes for our theory of action: *If the Region 15 CC provides high-quality, relevant, and useful TA, then the SEAs that it serves will increase their capacity to lead and implement systems-change that results in improved outcomes*

and equitable opportunities for all students. The logic model depicts the elements and approaches used by our Region 15 Center to address problems, build capacity, and achieve identified outcomes. The link between the TA strategies and SEAs' improved capacities to carry out their new responsibilities under ESSA is deliberate and direct.

Underlying Concepts, Theories, and Empirical Support for Our Approach

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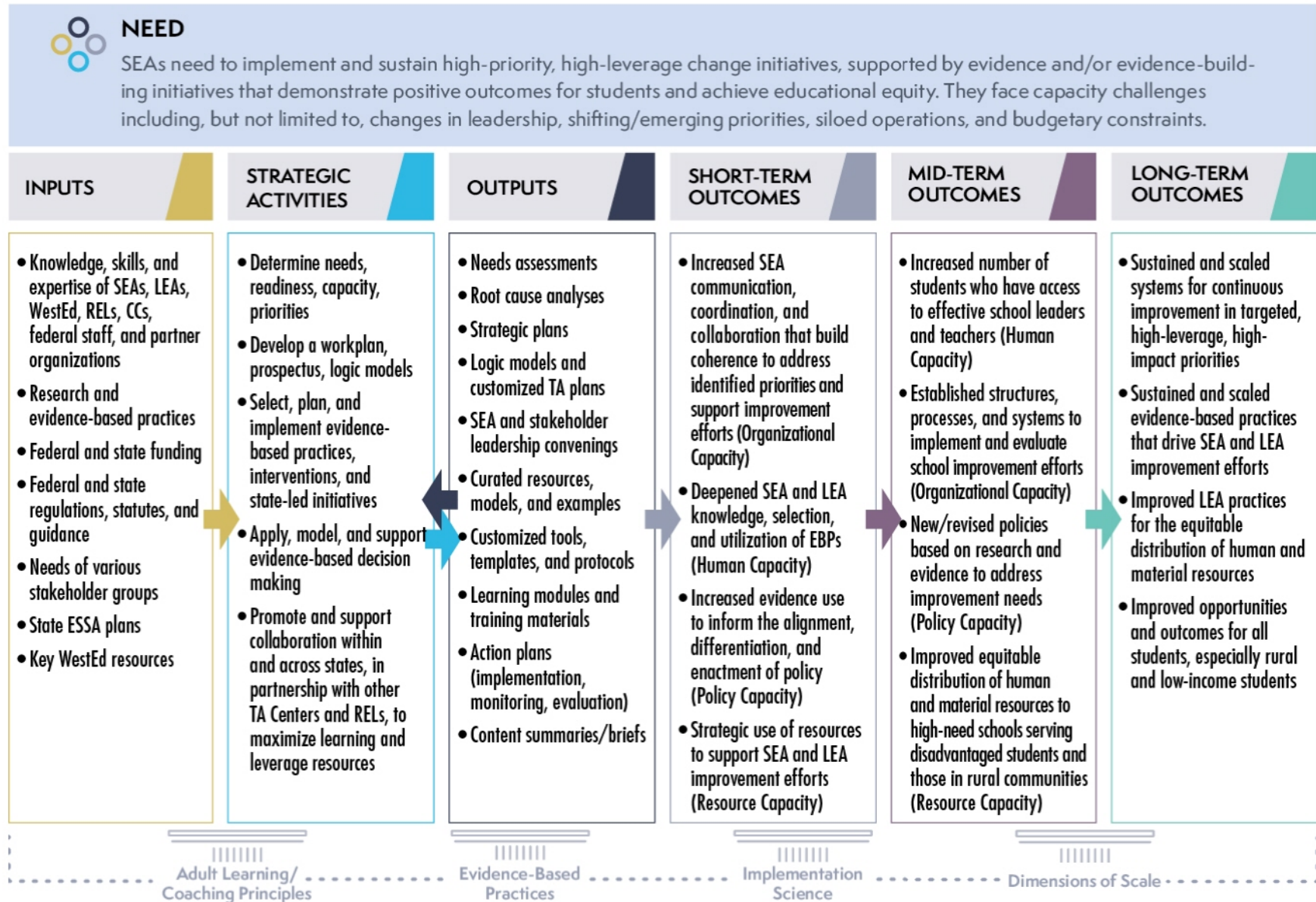
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EXHIBIT A.1: SCALING A SYSTEMIC APPROACH TO FORMATIVE ASSESSMENT IN ARIZONA

Over the course of four years, the WCC helped ADE and LEAs extend their understanding of formative assessment (FA) practices as part of ADE's ongoing effort to build a balanced assessment system statewide. The WCC staff supported ADE staff internally and helped them to work with LEAs. This led to increased inclusion of FA in ADE programs and in discretionary grants across divisions, including early childhood, school improvement, special education, and charter schools; to three new grant opportunities available for LEAs; and to increased use of FA structures by participating teachers (2,322 educators in 43 LEAs across the state, over four years). See Appendix A for more details.

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Figure A.1: WestEd's Region 15 Comprehensive Center Logic Model



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EXHIBIT A.2: CREATING TOOLS TO IMPROVE UTAH'S LOW- PERFORMING SCHOOLS

The WCC helped the Utah State Board of Education (USBE) redevelop its state system of support (SSOS) to effectively support low-performing schools in accordance with ESSA. WCC staff worked with USBE staff to review existing SSOS needs assessment tools and realign them to the Center on School Turnaround's Four Domains for Rapid School Improvement (2017). WCC and USBE staff collaborated to develop guidance and tools for all steps in the continuous improvement cycle: Set Direction; Assess Needs; Create Plan; Implement Plan; Monitor Plan; and Adjust Plan. Together, all six sections comprise the Utah SSOS Handbook that the state's districts use to improve performance in their lowest-performing schools. See Appendix A for more details.

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Section B: Quality of the Project Design

This section demonstrates how the Region 15 CC at WestEd will help SEAs address their priority needs for all students, with particular attention to transforming low-performing schools and districts so that they can improve opportunities and outcomes for the highest-need children. It also illustrates how we will support the region’s SEAs with deep, sustainable implementation of existing initiatives that have shown progress, and successfully launch and implement new SEA priorities, plans, and goals. In this section, we:

- Present our conceptual framework, describing how we will operationalize our logic model and apply our TA strategies, principles, and approaches in a cycle of continuous improvement;
- Identify our TA guiding principles designed to address complex and sustained change efforts;
- Describe how we will help clients and recipients leverage existing efforts and funding streams to ensure coherence and maximize impacts; and
- Demonstrate how we will engage in effective collaboration and communication with internal and external stakeholders, including the National Center, to achieve system change and improvement.

Conceptual Framework (*Selection Criterion B.2.i*)

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TA for Implementation of Evidence-Based Practices (EBPs) (*Absolute Priority*

1.2)

Region 15 SEAs have taken different approaches to supporting and guiding their LEAs' selection of EBPs to address specific needs. The region's states — many with REL West training and support — have moved from contemplating *what* they will do to help LEAs select EBPs, to *how* they will support LEAs in effectively implementing EBPs. As states focus more on LEA implementation efforts of EBPs, Region 15 CC staff will customize their TA to support the SEA's approach, paying particular attention to implementing and scaling up evidence-based

programs, practices, and interventions that address the unique education obstacles faced by rural populations. Table B.1 describes how each SEA in Region 15 is currently guiding EBP selection and implementation and proposes examples of the kinds of assistance that Region 15 CC staff will provide in response to requests.

Table B.1: Proposed Region 15 CC TA to SEAs in Relation to EBPs

| Region 15 SEA | SEA's Approach to Guiding LEA Selection of EBPs | Proposed Region 15 CC TA |
|---|--|---|
| Arizona Department of Education (ADE) | In spring 2019, ADE's Support and Innovation team released a searchable database of Strong, Moderate, and Promising EBPs, to help inform LEA and school improvement plans. | Consultation, coaching, and tools to help ADE monitor and support effective EBP implementation, as well as support for LEAs and schools to measure outcomes and impacts. |
| California Department of Education (CDE) | The CDE's ESSA team developed a webpage to share information and resources about ESSA's evidence provisions with LEAs. | Consultation and coaching on how to apply the ESSA tiers of evidence in development and review of LEA applications for funds. |
| Nevada Department of Education (NDE) | NDE developed a list of approved vendors for school improvement support; only vendors with demonstrated EBPs were included. | Support to develop NDE structures and capacity to help LEAs and schools, especially those serving rural and/or disadvantaged students, in addressing their unique obstacles to selecting and implementing EBPs. |
| Utah State Board of Education (USBE) | USBE established Utah Leading through Effective, Actionable, and Dynamic (ULEAD) Education program in order to create a clearinghouse of EBPs, to encourage replication of effective practices across the state. | Coaching and consultation to help USBE support LEAs' selection and implementation of appropriate EBPs aligned with locally identified needs and improvement priorities. |

Other TA (Application Requirements 3.iii & 3.iv)

WestEd's Region 15 staff will also assist SEAs with other tasks. Specific examples include:

- *Developing strategic plans.* We understand that SEAs and other clients with complex governance structures may need more than one version of a strategic plan. For example, SEAs may use a three-level structure: (1) a level-one, or high-level, plan presents a global view of the strategic plan, targeting a broad audience; (2) a level-two version, providing more detail about each goal in the strategic plan, can be shared with

governance boards and external constituents; and (3) a level-three plan further details, and drives, the day-to-day work of the client organization, with assigned responsibilities, deliverables, and timelines. WestEd staff can work with clients to help them identify and develop the appropriate versions.

- *Conducting organizational assessments.*

WestEd regularly conducts organizational assessments, to inform strategic planning, policy development, and/or ongoing process improvements. We gather a team of staff members and/or outside experts to determine the strengths and needs of the organizational unit. The team applies a data collection process that includes document review, observation, interviews, and focus groups with key stakeholders. Based on these data, team members formulate recommendations for improvements to enhance the organization's functionality.

- *Monitoring and evaluation activities.* WestEd has a long history of conducting monitoring and evaluation projects with federal agencies, SEAs, LEAs, and other entities. Our evaluations range from rigorous randomized controlled trials to qualitative studies and are each designed to increase program performance and inform decision-

EXHIBIT B.1: DELIVERING RESULTS WITH PERFORMANCE MANAGEMENT

The WCC helped the Nevada Department of Education (NDE) create a performance management system with routines within NDE that focus on and ensure implementation of its Strategic Plan. By developing a three-tiered framework for NDE's strategic plan and coaching NDE staff on performance management processes and procedures, the WCC is helping NDE to implement its Strategic Plan with fidelity and regularly monitor progress toward achieving goals and identify problems or barriers to progress; and needed support. See Appendix A for more detail.

making. As described in Section C proposed Region 15 CC staff have extensive experience and expertise developing the protocols for, and conducting, interviews, focus groups, and online surveys, to gather information about program impacts. Using a variety of statistical software and data analysis methods, we analyze and interpret data and results to produce reports. One example of our use of these various techniques to help SEA staff evaluate a program is the WCC report *Project ELEVATE: Arizona's Executive Leadership Program Year 2 Program Review* (West Comprehensive Center at WestEd & Arizona Department of Education, 2017), found in Appendix E.

Building on Existing Efforts and Funding Streams (*Selection Criterion B.2.ii*)

ED's proposed investment of \$6.5 million in the Region 15 CC should maximize the significant public investment made in the region's SEAs and LEAs, with current state, local, and federal revenues of more than \$80 billion in the region, including nearly \$6 billion in federal resources. The Region 15 CC will leverage this significant investment to design and provide TA that catalyzes, models, promotes, and organizes SEAs and LEAs to optimize their funding and other resources as investments in service of the public and social good of preparing students for the future. This TA will:

- Build focus and attention for achieving outcomes identified by each state's ESSA plan;
- Maximize impacts of funding and other resources, through blending and braiding, to increase the collective, rather than individual, reach of these resources;
- Streamline grant-making efforts and reviewing practices with intended and unintended incentives to evaluate impact and results for students;
- Evaluate SEA allocation methods to maximize choice, local control, and equity; and

- Promote and support the use of data that reflect relevant research and continuous improvement practices.

Region 15 CC is uniquely positioned as a source and hub for fiscal and resource integration by SEAs, LEAs, and communities. Our experience with Region 15's SEAs and LEAs underscores the need for strategic use and increased capacity of resources, and our project logic model (see Figure A.1 on page 29) represents this as a critical project outcome.

Our design for TA aims to promote, support, and sustain innovative practices, with regard to funding and resource use and management, that will lead to transformations in the policies, practices, and outcomes in place at SEAs and LEAs. Most SEAs and LEAs, including those in Region 15, struggle with how to break down silos in their management of funding and initiatives. Existing structural, political, and organizational barriers can make a holistic approach to initiatives difficult. Attending to the root-cause needs of districts and schools engaged in improvement processes requires overcoming such barriers. Our design for TA addresses these barriers through a focused and skilled approach characterized by the following features.

Student-Centered Design

Many current programs and initiatives within SEAs and LEAs were originally motivated by student needs, but often deviated from that original intent because implementation was constructed around funding sources and existing organizational structures. For example, although the populations of students living in poverty and English learners often overlap, many programs use compensatory support funding (e.g., Title I and state resources for low-income students) separate from funds designated for language proficiency (e.g., Title III and state resources for English learners). When students are at the center of program design, EBP selection should be based on meeting the full range of performance needs captured in each state's ESSA

accountability plans, taken as a whole, rather than as separate parts. Using a student-centered approach can transform SEA and LEA organizational, funding, and operational structures and policies. Region 15 CC staff will assist SEA leaders and staff in the planning, implementation, and monitoring of changes in structures and practices as they shift to student-centered approaches in program design and resource management.

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Improvement Science

Improvement science identifies multiple drivers that affect implementation (Bryk, Gomez, Grunow, & LeMahieu, (2015). Resources are among the drivers that are often overlooked in program design. Furthermore, SEAs and LEAs commonly fall into the trap of creating new programs to address each newly identified need. Without full consideration of points of complement and integration, the addition of new programs to existing programs and resources can lead to incrementalism and layering of projects, rather than a paradigm shift in approach or practice. Improvement science provides a productive framework in our work with SEAs to help them develop a more holistic, integrated approach to resource allocation for programs. As part of the continuous improvement cycle described in our conceptual framework (Figure B.1), we will use this lens as a capacity-building tool in our TA.

Effectiveness with Efficiency

Each state's ESSA plan serves as a strategic organizer for the state's TA focus and efficacy in achieving intended outcomes and goals. Region 15 CC staff will collaborate with each SEA, with the state's ESSA plan in mind, to:

- Redesign grant processes and structures to guide funding to high-leverage needs and evidence-based strategies;

- Streamline processes to reduce management effort at the SEA and LEA levels; and
- Use data to assess results and, as needed, revisit systems and processes to ensure that time, attention, and funding are oriented toward goals with efficient processes and designs.

State and Federal Funding Transparency and Flexibility

ESSA calls upon all states to increase the level of transparency in their school-level spending, which requires changes in how SEAs and LEAs collect and report expenditure data. In addition, ESSA increases states' flexibility in the use of funds to align with each state's ESSA plan. These increases in transparency and flexibility have great potential to improve the effectiveness and efficiency with which outcomes are achieved. Shifting long-standing practices related to the planning, management, and reporting for resources at SEAs and LEAs involves changes in administrative mindsets, as well as systemic changes in the formats, structures, and processes of how SEAs and LEAs collect and use financial data.

As TA providers, we will build the capacities of SEAs and LEAs to break down silos and replace them with strongly connected and integrated approaches to planning for and using funding, in order to further the goals identified in each state's ESSA plan. Our Region 15 CC will model and support integration of initiatives and funding, as this integration is vital to the maximization of all resources, including those invested in the CCs.

Collaboration and Communication (Selection Criterion B.2.iii)

Collaboration and communication are cornerstones of an effective CC. WestEd uses a variety of structures to collaborate, communicate, and coordinate with clients, recipients, and internal and external stakeholders at multiple levels of the system.

Collaboration with Appropriate Partners (Absolute Priority 1.4, Application Requirement 8, & Program Requirement 4)

WestEd recognizes the value of collaborations, both within and outside the CC network, to coordinate and maximize, and to avoid duplication of services and effort. The Region 15 CC will serve as an organizer and integrator of TA services, such as those provided by the Regional Educational Laboratories (RELs) and Individuals with Disabilities Education Act (IDEA) Centers, to ensure effective use of all available resources. One example of how we have successfully worked with multiple internal and external partners is the WCC's leadership of the T4TLA, a collaboration among the WCC, six other regional comprehensive centers (RCCs), and two national content centers. This project focused on diminishing equity gaps in access to and distribution of quality educators in low-performing schools. One participating district, (b)(4) (b)(4) located on Navajo Nation land, effectively reversed its principal attrition rate. See Appendix A for more detail on this project.

The Region 15 CC will collaborate, among others, with:

The National Center. Region 15 CC leadership will work closely with the National Center to ensure that the work of both entities is complementary and not duplicative. Together, we will identify trends and best practices and develop cost-effective strategies to make relevant products and services available to as many SEAs, REAs, LEAs, and schools as possible. The Region 15 CC will seek opportunities to collaborate with the National Center on projects that engage more than one state in the region, as indicated in Table A.8 on page 17. For example, we intend to undertake the “Personalized Learning Academy” project with our partner ADI and several states. This project is described in our response to Competitive Preference Priority 2.1 in Section B. Similarly, we hope to collaborate with the National Center to plan and deliver a regional project

to multiple states on “Meeting the Challenges of Rural, Remotely Located Schools.”

Descriptions of both projects can be found in Appendix C. The Region 15 CC will also support client and recipient participation in multi-state and cross-regional learning opportunities sponsored by the National Center.

If awarded the Region 15 CC grant, WestEd will assist ED with the transfer of pertinent resources and products, and will maintain the continuity of services to states during the transition to the new award period. This effort will include working with the FY 2012 Comprehensive Center on Building State Capacity and Productivity to migrate products, resources, and other relevant project information to the National Center’s CC network website.

The RCC Network. Region 15 CC leadership will participate in opportunities to convene with other RCC directors, as requested by ED, as well as engaging in ongoing communication and collaboration with them. In concert with the National Center, WestEd will identify commonly shared state priorities and issues that may provide opportunities to establish cross-regional communities of practice,

Other TA Centers, Including REL West. REL research will inform our practice and TA. Collaborating with REL West will help Region 15 CC staff to stay abreast of current research that TA practitioners can apply in the field. The Region 15 CC and REL West will collaborate closely via regular joint internal leadership meetings, as well as by meeting jointly with SEA leadership to refine workplans and design convenings on research and EBPs. The Region 15 CC will also work with federally funded centers that are not in the CC or REL networks — such as the National Charter School Resource Center, the National Clearinghouse for English Language Acquisition, the National Center for Systemic Improvement, and the Center to Improve Social and Emotional Learning and School Safety — to identify, plan, and deliver the highest-quality

TA possible. WestEd’s prior relationships and productive collaborations with these federally-funded TA centers – both internal to WestEd and external – will enable efficient development of Memoranda of Understanding (MOUs) once the grant is received. As indicated in Section C, many of these federally funded TA centers, including REL West are currently housed at WestEd

Rural Education Associations. To further support the significant needs of rural schools and districts, WestEd will develop agreements with state affiliates of the National Rural Education Association in each of Region 15’s four states. By working together with the Arizona Rural Schools Association, the California Small School Districts’ Association, the Nevada Association of School Boards, and the Utah Rural Schools Association, WestEd’s Region 15 CC will be able to extend each organization’s TA capacity and increase its SEA’s access to its members, so that SEA staff can provide content expertise and professional learning on issues critical to these rural stakeholders.

Communication System (Application Requirement 5 & Program Requirement 3)

Clear, regular communication and comprehensive stakeholder engagement promote transparency and SEA credibility, both of which are prerequisites for implementation of key initiatives. In its capacity as the CC serving the four states in Region 15, WestEd has developed a variety of standing feedback structures to coordinate with internal and external stakeholders at various levels and to monitor progress. Formative reviews of inputs from the various sources described in this section will inform and improve Region 15 CC TA and communications.

With Clients. Region 15 CC staff will rely on a blend of formal and informal communication channels to cultivate and maintain positive working relationships with client-organization leaders. We will meet with each chief state school officer and his or her respective leadership team in person at least twice a year to discuss key state initiatives and SEA priorities,

and to develop, refine, or confirm the state’s Annual State Service Plan. These plans will constitute the service agreement with each state, frame WestEd’s work as the Region 15 CC, and form the basis for all of the CC’s activities. They will also identify roles and responsibilities for key staff from both the CC and the SEA. Ongoing, consistent communications with SEA leadership and staff ensure not only that WestEd has the most up-to-date understanding of each state’s emerging needs and challenges, but also that the CC’s TA is relevant and useful to the state and its stakeholders. WestEd has received letters of support for this application from all four chief state school officers in Region 15.

(b)(4)

With Recipients. A critical aspect of our work is supporting SEAs to create ongoing and meaningful opportunities to engage stakeholders across the education system, throughout policy development and implementation, to monitor and support the use of evidence-based programs, practices, and interventions. Truly engaging stakeholders at all levels — including teachers, principals, LEA and intermediary agency staff, parents, community members, advocacy groups, institutes of higher education, and students — requires careful planning and significant time. As illustrated in Section C, Region 15 staff have deep experience in supporting SEAs to meaningfully engage stakeholders, from planning to facilitating to data collection and analysis to planning next steps. These feedback loops between SEAs and other elements of the education system are critical for monitoring and planning efforts to improve student outcomes. Region 15 CC TA will continue to support the region’s SEAs in this process, and we will use the gathered data to inform our services.

As one example of our stakeholder engagement support for SEAs, during California’s ESSA plan development, the CA CC supported the CDE in providing 25 virtual and in-person opportunities for stakeholder input in four phases of the state plan development process. CA CC staff delivered design consultation, facilitation support, and data analysis of thousands of comments from representatives of every major stakeholder group, including LEAs; teachers, principals, other school leaders, paraprofessionals, specialized instructional support personnel, and their affiliated organizations; civil rights and community-based organizations; parents and families; and charter school leaders. These groups’ engagement and the meaningful stakeholder input helped the CDE develop a coherent and responsive ESSA plan.

With ED. Working with their assigned program officer from ED, the leadership of the Region 15 CC will establish mutually agreed-upon communication norms. These may include face-to-face as well as virtual meetings, monthly calls, and/or email check-ins. Region 15 CC leadership will also attend all ED-coordinated Center Director Meetings and other events as requested by ED. Annual State Service Plans will be submitted to ED for review and approval, as will monthly reports updating each project in the plan.

With Advisors. As required in the statute creating regional comprehensive centers, the Region 15 CC will establish an Advisory Board composed of SEA, REA, and LEA representatives from throughout the region. The board will meet periodically with Region 15 CC leaders and staff to assess individual and regional needs and to provide ongoing feedback about services and information about shifting state contexts due to new policy or legislation.

Section C: Quality of Project Personnel

The quality, relevance, usefulness, and impact of intensive TA that builds capacity in people and their organizations hinge on the quality of the personnel providing the TA. Such providers must apply their expertise in and experience with SEAs and LEAs to serve as partners in solving urgent and important problems through creative, innovative, and sustainable approaches. This section:

- Introduces WestEd’s Region 15 staff and the agency’s capacity to operate the CC
- Offers evidence of how WestEd’s structures can effectively manage a multi-state CC
- Includes examples of past WestEd successes with complex projects and delivering high-quality, capacity-building TA to multiple SEAs.

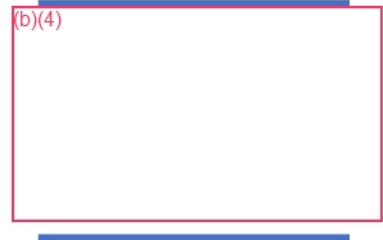
Staffing for Capacity and Impact

Providing high-quality, intensive TA that builds capacity in people and their organizations requires a diverse and well-rounded team of experts. The following considerations have guided WestEd’s approach to forming our proposed Region 15 CC team:

- *Diversity.* WestEd is committed to supporting diversity in our workforce and modeling, for SEAs and LEAs, how to recruit for and sustain diversity. Our team includes staff reflecting a range of racial/ethnic backgrounds, ages, and life experiences.
- *Regional needs.* As demonstrated in Section A, we have a deep understanding of Region 15 needs. The proposed project team and organizational structure have been created to maximize responsiveness and impact to the identified needs. This includes creating teams of subject matter experts (SMEs) to collaboratively work on the areas of equitable access, educator excellence, improved student learning, implementing accountability systems, and SEA infrastructure.

- *Accessibility.* Providing intensive TA requires a deep understanding of place, as well as proximity to those receiving assistance. WestEd has offices in state capitals in two of the four Region 15 states (Arizona and California), and staff identified for the proposed project team are located in all four states. WestEd’s Region 15 office will be based in Sacramento, California. Furthermore, we maintain a robust technology infrastructure that allows for video-based and other highly interactive online communication options.
- *Expertise and experience.* Providing high-quality, intensive TA requires an understanding of the organizational, operational, and instructional challenges and resources available to SEAs and LEAs. WestEd’s proposed team includes staff with track records of providing capacity-building TA to SEAs and LEAs, and most of our team have also worked directly with or for an SEA and/or an LEA in their career prior to joining WestEd.

By creating a team with these considerations in mind, WestEd seeks to maximize the impact and value provided through the federal investment in CCs. Coupled with our strong organizational systems, WestEd will ensure that the Region 15 CC is well managed and high performing. In addition, our existing and productive relationships with SEAs, LEAs, and other TA and research centers and providers uniquely position us to efficiently bring together partners, leaders, and expertise that SEAs and LEAs find responsive and highly effective to build their capacities.



Region 15 Team Organizational Structure *(Program Requirement 6)*

Given the size and complexity of Region 15, WestEd proposes a team structure that includes two Co-Directors: Mary Peterson, based in Nevada, and Deborah Sigman, based in

Region 15's office in Sacramento, California. The Co-Directors will bear primary responsibility for the strategic direction, executive leadership, and accountability for the Region 15 CC.

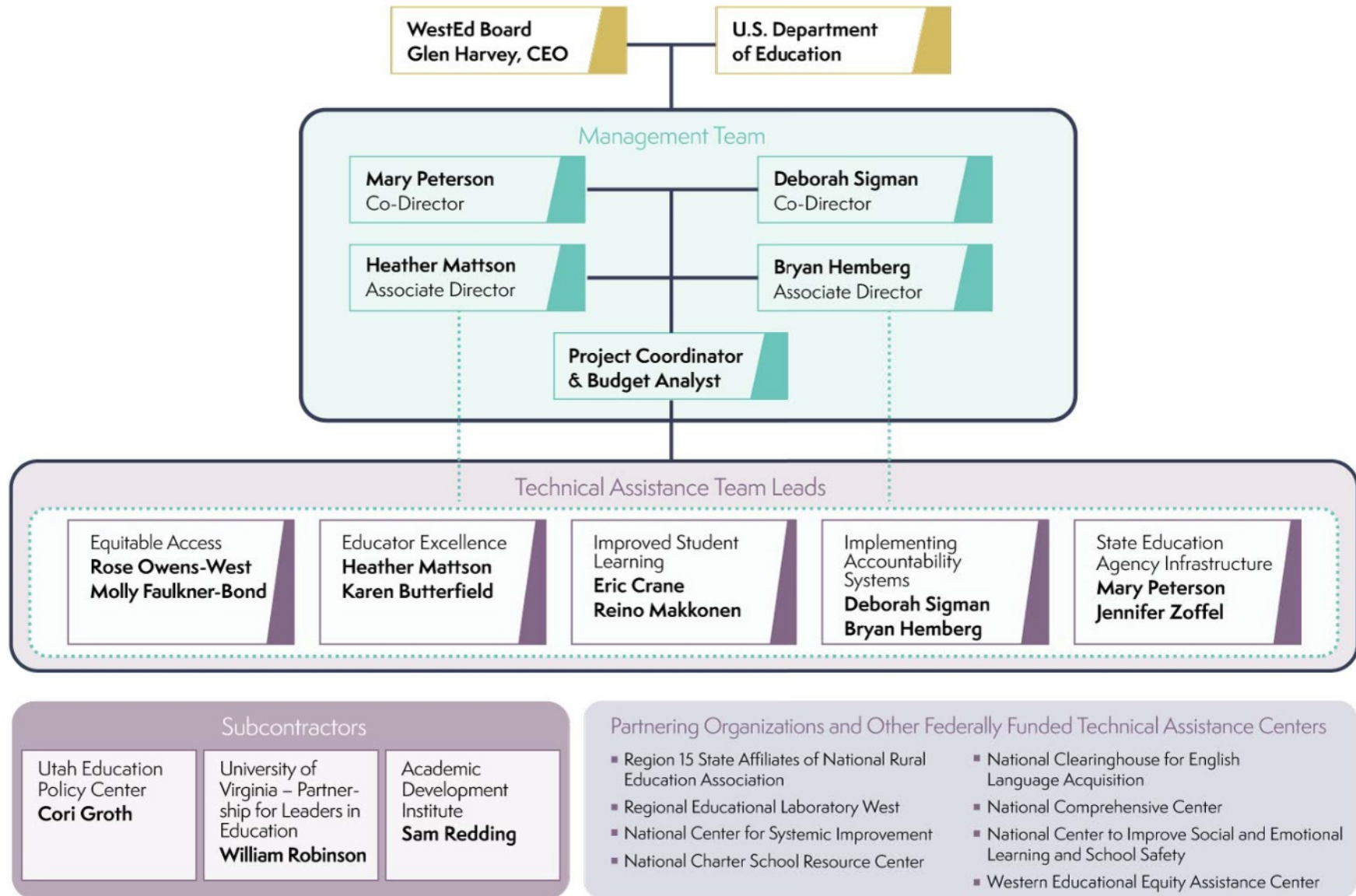
Associate Directors, Heather Mattson and Bryan Hemberg, will support day-to-day operations and provide leadership for the TA teams organized to address identified areas of need — equitable access, educator excellence, improved student learning, implementing accountability systems, and SEA infrastructure. Each Co-Director and Associate Director will also serve as a TA Team Lead and as a TA provider, which is reflected in the FTE allocation. (See Part 5: Budget Narrative for FTE allocations.)

Members of the Center Support Staff team will provide administrative assistance and support to Center staff. This includes day-to-day management of the Center's budget, support for online events sponsored by the Center, development and maintenance of data systems to track productivity, and oversight of Center facilities and operations.

In addition to the Management Team, other key staff include TA Team Leads with specific subject-matter expertise associated with areas of identified need. The Team Leads will ensure that the Center's work focuses on identified needs, and supports a high degree of coordination and collaboration among the staff. The full team also includes subcontractors and a deep bench of regionally and nationally recognized SMEs. Subcontractors with specialized expertise are ADI and UVA-PLE. In addition, subcontractor UEPC will provide independent evaluation and continuous improvement support. Finally, to maximize value, we will coordinate and integrate the TA provided by the Region 15 CC with TA provided by other organizations and federally funded TA and research centers.

Figure C.1 shows the proposed organizational structure for how our key staff will support the project.

Figure C.1: Region 15 Organization Chart



Qualifications of Key Personnel (*Selection Criteria C.3.i & C.3.ii; Application Requirement 2*)

Center Co-Directors

WestEd's proposed Co-Directors both have long histories as respected and well-connected SEA leaders from Region 15 states, and are prepared to provide effective leadership for our proposed Region 15 CC and its staff. **Deborah Sigman** served as California's Deputy Superintendent of Public Instruction for more than 7 years and **Mary Peterson** served two full terms as Nevada's State Superintendent of Public Instruction. They have also worked in key leadership positions in both existing CCs currently serving Region 15, as well as in content centers (the Center on School Turnaround and the Center on Standards and Assessment Implementation) and REL West. This pairing of Co-Directors provides the proposed Region 15 CC with a combination of long-standing experience as successful SEA executive leaders, as federal TA leaders and providers, and as LEA leaders. The two Co-Directors will share responsibility for providing the CC's strategic and conceptual leadership; serve as liaisons to ED's CC network and program staff; oversee the coordination and assignment of staffing resources, including subcontractors, for the region; establish and manage annual budgets and Annual State Service Plans; establish, maintain, and grow relationships with chief state school officers and key SEA staff; conduct outreach and networking with key SEA, REA, and LEA education partners; and establish and manage the quality assurance process for the Center's work.

Co-Director Qualifications, Training, and Experience

Deborah Sigman is the Interim Program Director for WestEd's Comprehensive School Assistance Program (CSAP), where she leads a staff of nearly 90 individuals dedicated to

transforming LEAs and schools into highly effective learning organizations through coaching, professional learning, leadership training, and TA. Sigman is also the current Director of the CA CC, leading more than 20 intensive TA projects to build the capacities of SEA staff so that they can better serve their LEAs, and she serves as a Senior Advisor for the national Center on Standards and Assessment Implementation (CSAI) and the national Center to Improve Social and Emotional Learning and School Safety (SEL Center), both housed at WestEd.

In her current role as a Senior Advisor to the CSAI, Sigman provides intensive technical assistance to SEAs to develop and improve their systems of standards, assessments, and accountability. In her current role as the CA CC Director, she capitalizes on her significant SEA and LEA experiences to understand clients' challenges and provide immediate, relevant technical expertise that can be sustained. She also closely oversees projects focused on implementing accountability systems, including helping California develop a rigorous measure of student-level growth (see Appendix A).

Prior to joining WestEd, Sigman served in multiple education leadership positions, at the district, state, and national levels, where her expertise in assisting educators in integrating systems of curriculum, assessment, and instruction was paramount. She held several administrative positions in California districts, including, most recently, serving as a deputy superintendent overseeing educational services, including services to English learners and students with disabilities. In this capacity, Sigman was able to shine a light on the inequities of student performance, through the appropriate use of data; respond to the needs of underserved students; and provide support for educators to make a difference in the lives of those students.

For nearly 11 years, Sigman was a member of the leadership team at the CDE, first as the State Assessment Director and then as the Deputy Superintendent of Public Instruction (DSPI).

In her role as DSPI, she managed a staff of more than 500, overseeing standards implementation, assessment development, and accountability systems, as well as federal grant programs including Titles I, II, and III. She was instrumental in moving the state from a paper-based assessment to an entirely online assessment environment, providing thousands of English learners and students with disabilities with greater access to assessments to accurately demonstrate what they know and can do. While at the CDE, Sigman recognized the importance of quality TA and partnerships to build the capacity of a large organization routinely impacted by high staff turnover and shrinking resources to pay for qualified personnel.

At the national level, Sigman served as co-chair of the National Assessment Governing Board (NAGB) Policy Task Force and as chair of the Smarter Balanced Assessment Consortium Executive Committee.

Sigman received her BA in Psychology from the University of California, Davis, and her MS in Counseling (School Psychology) from the California State University, Sacramento.

Mary Peterson has extensive experience leading TA to build the capacities of SEAs and LEAs in Regions 15. Through regional centers, including the WCC, Peterson leads work with SEA staff in Arizona, Colorado, Nevada, New Mexico, and Utah to design and implement their respective statewide systems of support for underperforming schools and districts, based on research and evidence-based practices. This work includes development and implementation of school improvement processes, structures, rubrics, and tools. As the project lead for work with the Utah State Board of Education (USBE), Peterson helped revise Utah's state system of support for low and underperforming schools (e.g., those identified for CSI and TSI) to align with ESSA requirements. Using the *Four Domains for Rapid School Improvement* (CST, 2017) and a cycle of continuous improvement as the framework for revisions, she assisted USBE in the

development of the *Utah System of Support for School Improvement* (USB, 2018), a guide for improving low-performing schools.

Peterson also leads the design, delivery, and formative review of state turnaround leadership development programs. She assisted the New Mexico Public Education Department with the development and delivery of Principals Pursuing Excellence, which provides professional development and support to leaders in turnaround settings. She also served as WestEd's project lead with ADE in the development and delivery of ELEVATE, a turnaround leader development program previously described in Sections A and B, and through the Center on School Turnaround (CST), she co-leads the development and delivery of T4TLA, also previously described in Sections A and B. As part of this project, Peterson has co-led the planning of three national convenings and professional learning communities that continue to support T4TLA participants.

Peterson served two full terms as Nevada's Superintendent of Public Instruction. In that role, she oversaw all operations of NDE; represented K–12 education in the Nevada Legislature and numerous other public venues; reported and was accountable to the elected eleven-member Nevada State Board of Education; served in the governor's cabinet; and regularly engaged with multiple stakeholder groups, including LEA superintendents, teachers, and the association that represented them; parents and parent groups; and the media. During her tenure, Nevada developed and implemented academic content standards and a more rigorous high school exit exam. As State Superintendent, she also served on the Board of Directors of the Council of Chief State School Officers and the Education Commission of the States.

Before her appointment as State Superintendent, Peterson held several leadership positions within NDE, including Deputy Superintendent and Statewide Title I Director. Immediately prior

to joining WestEd, Peterson was Statewide Director of Teacher Education, then Vice President of Academic Affairs, and Dean of Faculty at Sierra Nevada College. She began her career teaching junior and senior high school English and was the principal of a small, private K–8 school in a rural setting.

Peterson received a BA in English from Carleton College, an MA in teaching from Duke University, and an honorary doctorate from Sierra Nevada College. Her education also includes doctoral studies in educational administration and cultural foundations of education at the University of Utah, where she was inducted into the graduate Phi Kappa Phi Honor Society.

Center Associate Directors

The Center’s proposed Associate Directors will complement the proposed Center Co-Directors by adding capacity to lead, manage, and organize the delivery of TA across the five TA Teams. **Heather Mattson** and **Bryan Hemberg** both have deep knowledge of Region 15, strong leadership skills, experience with SEAs and LEAs, and content expertise. Hemberg currently serves as Associate Director for the CSAI, and has worked on projects with the Region 15 states to build their capacity to address a variety of assessment and accountability system needs. Mattson currently serves as a focus-area lead within the CA CC, where she manages a team providing TA that resulted in the development of California’s ESSA plan. The two Associate Directors will share responsibility for assisting the Co-Directors with planning, relationship building, outreach, and networking; coordinating and overseeing the TA Teams; managing ongoing learning opportunities for individual states and multi-state working groups on priority topics; coordinating external evaluation activities and federal reporting requirements; and managing systems that support quality assurance, staff utilization, and project communication.

Associate Director Qualifications, Training, and Experience

Heather Mattson has more than 15 years of experience providing TA to SEAs and LEAs, leading projects for the CA CC and its precursor, the Northern California Comprehensive Center. In addition, she has led projects, written briefs, and produced online events for the Center on School Turnaround and the Region IX Equity Assistance Center. She draws upon her experience as a former middle school humanities teacher to maintain a student-centered view when approaching systems design and transformation.

As a member of the CA CC's Management Team, she provides strategic and conceptual leadership for the center's research and TA projects. These projects amplify state capacity to use effective and evidence-based practices and improve outcomes. Her specific areas of focus include ESSA implementation, equitable access to highly effective teachers and leaders, supporting the lowest-performing schools and districts, and career readiness. She was instrumental in partnering leadership at the CDE and the California Commission on Teacher Credentialing to develop California's Educator Equity Plan (2017), California's ESSA plan (2018), the California Quality Professional Learning Standards (2015), and the California Professional Standards for Education Leaders and Descriptions of Practice (2014, 2017). She is sought after by clients for her skills in facilitation, stakeholder engagement, professional learning, and content consultation in the areas of school improvement and educator equity, tool and resource development, research synthesis, policy analysis, and the design and implementation of change initiatives using a continuous improvement process.

Prior to joining WestEd, in her roles as a middle school humanities teacher and a teacher on special assignment, Mattson developed standards-based curriculum, instruction, and assessment; managed her school's service learning program; and helped design staff development programs

that improved teacher capacity to better meet the needs of students of color. She earned her EdM in teaching and curriculum from Harvard University.

Bryan Hemberg has more than 15 years of experience working with federal agencies, states, districts, and schools to improve outcomes for all students, especially those traditionally underserved by the current education system. Since 2012, Hemberg has served as Associate Director for the CSAI. His work is focused on defining and measuring outcomes and on capacity-building efforts at the federal, state, and local levels, including conceptualization and implementation. He works with SEAs and LEAs as they pursue the development and implementation of aligned, equitable, and high-quality standards, assessment, and accountability systems under ESSA.

Serving as a policy advisor and technical expert, Hemberg supported the Bureau of Indian Education (BIE) as it established its standards, assessments, and accountability system under ESSA through the federal Negotiated Rulemaking process. He also worked alongside the BIE as it improved upon its data collection and reporting processes and practices, and helped it establish its first data governance board, in addition to leading both program-level and BIE-wide data inventories.

Previously, Hemberg served as Senior Project Director at the American Institutes for Research, where he supervised the development and delivery of all operational components of multiple state alternate assessment programs. He has designed and conducted rigorous, federally funded educational research for both the National Center for Research on Evaluation, Standards, and Student Testing and the Center for the Study of Evaluation. He began his career in education with Teach for America and served as a special education teacher at Dr. George Washington

Carver Middle School in Los Angeles. He earned an MA in Special Education at Loyola Marymount University.

TA Team Structure

WestEd has a deep bench of staff with highly relevant TA experience oriented around capacity building, complemented by a deep understanding of Region 15 needs. The proposed TA Teams include staff with CC experience (CA CC, WCC, and Mid-Atlantic Comprehensive Center [MACC]; CSAI; Center on School Turnaround; SEL Center) and experience with other federally supported TA and research projects (Equity Assistance Centers; RELs). Further rounding out the TA Teams are our subcontractors (b)(4) and a cadre of SMEs with regional and national expertise, available as needed for specialized areas of focus.

Based on the identified needs and the Five-Year Plan in Section A, TA Teams are structured to address the overarching need of SEAs and LEAs to develop sustainable systems for improvement of low-performing LEAs and schools. To meet this urgent need, TA will focus on equitable access, educator excellence, improved student learning, implementing accountability systems, and improving SEA infrastructure. Following are descriptions of the focus for each team and brief biographies of the proposed team leaders. Full résumés of key Region 15 personnel described in this section appear in the Other Attachments Form.

Equitable Access. Ensuring equitable access to educational opportunities and resources for all students is at the core of all of the Region 15 state priorities. By focusing on academic equity, Region 15 staff will help SEAs increase educators’ capacities to improve learning outcomes for all students, with particular focus on those with disabilities; cultural, racial, and linguistic

differences; and/or disadvantaged socioeconomic backgrounds. Region 15 staff have also supported, and will continue to support, SEA staff in assisting LEAs in developing equitable and inclusive plans and policies and then identifying and implementing EBPs aligned with them. In addition, Region 15 staff will continue to provide TA to facilitate safe, fair, and respectful school environments for all students, while improving educators' understanding of the cultural, intellectual, social, emotional, and physical needs of each learner. An example of such work is the CA CC's support to the CDE in providing facilitation, planning, research, and content expertise that led to the development and adoption of a comprehensive roadmap for new state English learner policies, adopted in 2018. This TA provided guidance for programs and practices geared to positive learning outcomes for these students. As a model of successful stakeholder engagement, the process resulted in a plan that uses EBPs and artifacts to support implementation. This section describes the qualifications, training, and experience of the Region 15 staff who will lead delivery of capacity-building TA related to equitable access.

Rose Owens-West leads the equity assistance services for CSAP at WestEd. She has served in leadership roles for several federally-funded TA centers managed by WestEd, including as Director of the Region IX Equity Assistance Center and the Smaller Learning Communities Technical Assistance Center, and as Associate Director of the CA CC. Throughout her professional career, she has worked with multiple federal programs, including ESEA Title I, Neglected and Delinquent; the BIE; and Title IV of the Civil Rights Act. Owens-West's work has been primarily focused in California, Arizona, and Nevada, collaborating with the SEAs and with numerous REAs and LEAs in these states. She has provided TA to 11 of the 15 largest districts in California, the Clark County School District (NV), and Tucson and Paradise Valley school districts (AZ), as well as numerous suburban and small rural districts in all three states.

She has helped clients tackle numerous issues, including college and career readiness; ensuring equity and addressing issues of disproportionality; supporting the lowest-performing schools; implementing ESEA and ESSA; developing magnet schools that foster school choice and dual enrollment; and early-college high schools to foster college and career success. Prior to joining WestEd, Owens-West worked for the Illinois State Board of Education, as the Executive Assistant to the Deputy Superintendent of Schools, and for the federal Title I Technical Assistance Center at RMC in Mountain View, CA. She began her career as a secondary social studies teacher and earned her doctorate in education administration and policy analysis from Stanford University.

Molly Faulkner-Bond leads work that focuses on English learners, policy, and assessment for CSAP. In this role, she collaborates with educators, researchers, and communities to strengthen the field of education research, increase the use of educational research results, substantively impact teaching and learning, and improve educational outcomes for linguistically and culturally diverse learners. Prior to joining WestEd, Faulkner-Bond was a grant program officer at the Institute of Education Sciences, where she provided TA and monitoring to applicants and recipients of multi-year research grants focused on improving educational opportunities and outcomes for English learners. She has co-authored a book on federal policies affecting English learners, co-edited a book on educational measurement and assessment, and co-authored several articles on assessment validity and score reporting for both English learners and the general population. Faulkner-Bond earned her BA from Harvard College and her doctorate in research, educational measurement, and psychometrics from the University of Massachusetts, Amherst.

Educator Excellence. Improving talent management systems to recruit, retain, and support a high-quality educator workforce throughout the career continuum is an imperative for all states in Region 15, where shortages of high-quality teachers and leaders are ubiquitous. The need is severe and ongoing. As they have in the past, WestEd’s Region 15 staff will continue to collaborate with states and districts in the conceptualization, design, development, and implementation of professional learning and support opportunities that address the needs and assets of educators from their very first day on the job and throughout their careers. One example of how members of the proposed WestEd Region 15 team have successfully assisted clients and recipients with leadership development is Arizona’s ELEVATE, previously described in Sections A and B. ADE requested assistance to develop a pipeline of education change leaders to turn around the state’s lowest-performing schools and improve learning outcomes for all students. The research and EBPs that the WCC shared with ADE led to the development of training modules and to changes in school leadership structures and capacity development. The impact of this project is described in our response to Competitive Preference Priority 2.1. The qualifications, training, and experience of Region 15 staff who will lead delivery of capacity-building TA related to educator excellence are described below.

Heather Mattson, the proposed Region 15 CC Associate Director (biography previously provided), and **Karen Butterfield** will lead the educator excellence TA team. Butterfield specializes in educator effectiveness TA to SEAs and LEAs and provides support as a member of the WCC. She provides leadership for several state-level projects, including T4TLA and the Collaborative for Continuous Improvement of Educator Effectiveness Systems, for which she serves as the Steering Committee lead. Prior to joining WestEd, she was a member of the Council of Chief State Schools Officers Educator Workforce team, and she served as Associate

Superintendent at ADE for ten years. Butterfield began her career as a teacher in the Flagstaff Unified School District, and has also served as a districtwide administrator. She later founded, and served as executive director of, the Flagstaff Arts & Leadership Academy, an award-winning and “A-rated” charter high school, in partnership with the Museum of Northern Arizona. She earned her doctoral degree in educational leadership from Northern Arizona University, graduating with distinction.

Improved Student Learning. Outcomes related to college and career readiness are a critical measure of system productivity and equity. Despite overall improvement in outcomes, notable gaps exist in graduation, remediation, and college participation rates based on race/ethnicity, language proficiency, and disability status throughout Region 15. WestEd’s substantial body of work focused on college and career readiness begins with pre-K and continues through high school, with a focus on developing SEAs’ and LEAs’ organizational, human, structural, and material capacities to address the whole child and the full continuum of learning needs. Staff proposed for this TA team have contributed to the development and adoption of academic standards for core subject areas and for English learners. They have also worked extensively in the area of college and career readiness at the regional level. The SWCC/WCC History Map: College & Career-Ready Regional Collaborative displayed in Appendix A describes how the WCC has worked with SEA representatives from Arizona, Nevada, and Utah since 2008 to develop and strengthen college and career efforts throughout the region. This section describes the qualifications, training, and experience of Region 15 staff who will lead delivery of capacity-building TA related to improved student learning.

Eric Crane leads the CA CC’s work on accountability and college and career readiness. In this role, he blends his skills as a researcher and as a communicator to help SEAs and LEAs

design systems of measurement, accountability, and reporting that lead to reflective practice and productive attention to improved school and district performance. His experience and expertise include research and evaluation methodology, large-scale survey and assessment data analyses, and policy studies focusing on statewide assessment and accountability systems. Crane also directs the MACC's TA to the Delaware Department of Education on accountability report card revision. As a longstanding contributor to REL West, he has co-authored three annual reports on California's charter schools, describing their issues and academic performance trends. He also co-authored a national analysis of academic standards coherency. Prior to joining WestEd, Crane managed the Research and Analysis Unit at the CDE, where he provided technical and policy support during two different cycles of accountability systems in California. Crane received an AB in economics from Princeton University and MA degrees in statistics and quantitative methods in education from the University of California, Berkeley. He has completed PhD coursework and the PhD qualification examination in quantitative methods in education at the University of California, Berkeley.

Reino Makkonen conducts research and provides TA related to teacher and principal workforce issues as a member of the WCC and REL West at WestEd. His recent research has focused on evaluating leadership development programs, exploring the implementation of college and career readiness standards, and examining current reforms in teacher development and support. He has extensive TA experience working with state and district officials in all four Region 15 states. These collaborations have focused on building leaders' capacities to examine the evidence base for interventions addressing their identified needs, as well as on developing logic models and implementation and evaluation plans geared to their new educator support initiatives. Prior to joining WestEd, Makkonen spent several years developing, implementing,

and studying early literacy curricula with Houghton Mifflin. He earned a doctorate in policy analysis, measurement, and evaluation from the University of California, Berkeley, Graduate School of Education.

Implementing Accountability Systems. The transition from summative measurement approaches to multiple measures and unified state and federal accountability systems presents a major opportunity, and some challenges, for the SEAs and LEAs in Region 15. Their efforts to use data for reflection and continuous improvement with a broad, holistic view of learning and quality schooling require changes in mindset and skills, regarding the value and use of data, strategic planning processes that include root cause analysis, and continuous improvement systems. Our ongoing support for Region 15 SEAs and LEAs includes models for how research and evidence-based resources can be used to identify high-leverage indicators and assessment strategies, reduce assessment and data collection burdens, and produce rapid feedback to inform “just-in-time” instruction. The proposed team providing TA on implementing accountability systems will build on previous collaborations with Region 15 SEAs and LEAs to mature their systems and processes for using state and local assessment to inform practice, based on an understanding of outcomes. Region 15 CC Co-Director **Deborah Sigman** and Associate Director **Bryan Hemberg** (both biographies previously provided) will co-lead this area of TA.

SEA Infrastructure. As trusted advisors, CCs frequently are called upon by their partners in SEA leadership to provide TA related to strategic planning for the SEA (e.g., establish a vision for change, set goals, and measure progress), organizational redesign to improve support to LEAs and to shape culture, and system redesign to streamline processes and to increase organizational effectiveness. SEA infrastructure creates a scaffold that affects the design of and approach to programs, initiatives, and relationships. In our TA efforts with SEAs, infrastructure

is a persistent area of need and challenge, due to staff and leadership turnover, rapidly evolving policy environments, and significant resource limitations. The CA CC and the WCC have worked with the SEAs in Region 15 to implement important initiatives and to improve their understandings of organizational change, their abilities to manage projects and programs, and their uses of data to make evidence-based decisions. Improving the internal functions of SEAs is essential in ensuring that SEA systems are functioning effectively, so that they can productively support low and underperforming schools through a coherent statewide system of support. This section describes the qualifications, training, and experience of Region 15 staff who will lead delivery of capacity-building TA related to SEA infrastructure.

Mary Peterson, Region 15 CC Co-Director (biography previously provided), and **Jennifer Zoffel** will lead the TA team for SEA infrastructure. Zoffel provides TA, primarily to the CDE, in the areas of change management, organizational restructuring, cross-group facilitation, and stakeholder engagement. She leads and assists the CA CC with the management of projects designed to support LEAs' and SEAs' building of organizational capacity. This work includes guiding SEAs through the problem identification process and clarifying both the problems' symptoms and the underlying issue (root cause analysis). She has extensive experience working with leaders and executives to address complex organizational initiatives through planning and change management. Zoffel earned a BS from Santa Clara University and an MS in organizational development from Bowling Green State University.

Other Key Personnel and Subject Matter Experts (SMEs)

In addition to the expertise of Center leaders, as described in the previous section, we will draw on other WestEd experts to complement and enhance the work of these teams. Table C.1 identifies and provides short thumbnail sketches of other key personnel with whom we will

engage to round out our TA teams to deliver capacity-building TA in Region 15. The State in parentheses after each name indicates where the individual is located. Their résumés appear in the Other Attachments Form.

Table C.1: Other Key Personnel and Subject Matter Experts (SME)

| |
|--|
| Equitable Access |
| <p>Debra Benitez (CA) builds the capacities of SEA and LEA professionals to select EBPs that inform policy decisions for diverse learners, particularly migrant students and students with disabilities.</p> <p>Jennifer Blitz (AZ) works with school and LEA teams to improve instruction in academic language acquisition, particularly in settings with significant diverse learners.</p> <p>Steve Canavero (NV) leads work related to charters and choice, as well as challenges faced by rural LEAs and schools.</p> <p>Pamela Spycher (CA) builds SEA, REA, and LEA capacities to develop and implement policies and resources focused on improving academic outcomes for dual language learners/English learners.</p> |
| Educator Excellence |
| <p>Jessica Arnold (CA) manages educator professional learning efforts focused on aligning curriculum, instruction, and assessment to improve teaching and learning.</p> <p>Judith Ennis (CA) applies expertise and experience in the areas of educator excellence and equity, specifically focusing on improving teacher and administrator capacity.</p> |
| Improved Student Learning |
| <p>Christina Pate (CA) trains and coaches SEA and LEA staff in coordinating planning and implementation efforts across state and local child-serving systems to increase awareness of social and emotional, behavioral, and mental health issues, and in connecting children with evidence-based services.</p> <p>Robert Sheffield (CA) focuses on strengthening implementation of new content standards and guides enhancements in support of teaching and learning.</p> <p>Randy Tillery (SME) provides content expertise related to regional systems development, adult education, K14 pathways, and workforce development systems.</p> <p>Gerrit Westervelt (SME) is a national leader in the movement to build comprehensive early childhood systems in every state, and has helped dozens of states improve their governance, quality rating and improvement, and professional development systems for young children.</p> |
| Implementing Accountability Systems |
| <p>Marie Mancuso (AZ) leads formative assessment work in the states of Arizona, Nevada, and Utah. She also leads teacher and leader development efforts throughout the region.</p> <p>Tran Keys (CA) provides mixed-methods program evaluation and research to colleagues, partners, and clients, including SEAs, REAs, and LEAs, to increase the use of high-quality data and evidence in education decision-making.</p> |
| SEA Infrastructure |
| <p>Kenwyn Derby (UT) tracks and assesses regional needs for evidence-based information, and coordinates events and TA that address priorities of states in Region 15.</p> <p>Lenay Dunn (AZ) helps states and local educational entities use data to make evidence-based decisions and improvements.</p> |

Andrew Morrill (AZ) provides TA to SEAs, school districts, and professional learning communities focused on systemic school improvement.

Jason Willis (CA) supports SEAs, REAs, and LEAs in aligning policies, strategies, and accountability practices to achieve more equitable education outcomes for students. He also assists SEAs in analysis of financial data, including the effective use of resources and student funding formulas.

In addition, the Region 15 CC will call on other subject matter experts (SMEs), both internal and external to WestEd, as needed, to contribute their expertise in cases where our staff do not have the necessary knowledge and skills. A list of additional SMEs is in Appendix G.

Subcontractors (Program Requirements 5 & 7)

WestEd’s proposed Region 15 CC includes specialized support from two organizations — ADI and UVA PLE — with long-standing experience and successful track records in providing intensive TA to Region 15 SEAs and LEAs. In addition, the UEPC will serve as the independent evaluator for this project. Letters of commitment from all of the proposed Region 15 subcontractors are included in Part 6: Other Attachments Form. This section provides descriptions of these subcontractors and their proposed contributions to the Region 15 CC.

Academic Development Institute (ADI) is a nonprofit corporation founded in 1984 with the mission of assisting families, schools, and communities with children’s academic and personal development. ADI will collaborate with the Region 15 CC to provide support and TA to SEAs, REAs, and LEAs in the region on the following topics:

- Meeting Challenges of Rural, Remotely Located Schools Serving Communities in Poverty (Including Schools Serving Native American Communities); and
- An Instructional Approach to Personalizing Students’ Learning and Building Their Personal and Social Capabilities (PSC).

These projects are referenced in our Five-Year Plan in Section A, and detailed descriptions of both projects appear in Appendix C. **Sam Redding** will lead this work; his résumé appears in the Other Attachments Form.

The University of Virginia Partnership for Leaders in Education (UVA PLE) is a joint venture of UVA's Darden School of Business and Curry School of Education, which provides the SEA Executive Leadership Program for chief state school officers and their executive teams. The program provides these SEA staff with opportunities for training, consultation, and, in some cases, coaching from Darden School of Business faculty. Participants tackle issues related to leadership, talent management, strategic planning, performance management, and other internal organizational issues. Region 15 SEA leaders will continue their participation in the SEA Executive Leadership Program. A more detailed description of the program is provided in Appendix C. **William Robinson** will lead development and delivery of the program; his résumé can be found in the Other Attachments Form.

The Utah Education Policy Center (UEPC) will serve as Region 15's external evaluator. The UEPC is a research-based center at the University of Utah, founded in the Department of Educational Leadership and Policy in 1990 and administered through the College of Education since 2007. As an integral part of the college's commitment to improving educational access and opportunities, the UEPC aims to improve the quality of education policies, practices, and leadership. The UEPC offers research and evaluation services, training and development, and TA to educational leadership, educators, policymakers, and other stakeholders. It helps clients understand whether education policies, programs, and practices meet expectations; whether they are implemented as intended; and how they can be improved. The UEPC's evaluation plan for

the Region 15 CC at WestEd is presented in Section D of this proposal. **Cori Groth** will lead this work; her résumé can be found in the Other Attachments Form.

WestEd's Capacity

WestEd is a nonprofit educational research, development, and service organization with more than 50 years of experience in providing high-quality TA and support to educational leaders in the Region 15 CC states of Arizona, California, Nevada, and Utah. With approximately 800 staff in 15 offices across the nation, WestEd works at all levels of the educational system — school, district, regional, state, and national. WestEd and its staff have a long-standing history and track record of projects with educational organizations throughout Region 15. Our proposed team members have enduring relationships with educational leaders in each state, built on the trust that can only come from delivering ongoing, reliable, and consistently high-quality work. We have extensive experience, expertise, and systems in place to support the successful management of the Region 15 CC, including, but not limited to, ability to manage budgets and large-scale projects; design and implementation of performance management processes; commitment to diversity; and executive leadership with a strong commitment to positively impacting results for students through the TA that the Region 15 Comprehensive Center will provide

Managing Budgets and Large-Scale Projects (Application Requirement 3.i)

WestEd currently operates multiple federally funded regional and national TA centers charged with building the capacity that SEAs and LEAs need in order to address some of their most pressing challenges. This work includes implementing and administering programs authorized under ESEA and ensuring equitable access to high-quality education opportunities for

all children. Table C.2 provides an overview of the national and regional centers that WestEd currently operates as a prime contractor or as a subcontractor.

Table C.2: WestEd National and Regional Centers

| Contract Name | Prime/ Sub | Contract Name | Prime/ Sub |
|---|---------------|--|---------------|
| Regional Educational Laboratory (REL) West | Prime | REL Mid-Atlantic | Sub |
| Center on School Turnaround | Prime | REL Northeast & Islands | Sub |
| Center on Standards and Assessment Implementation | Prime | Central Regional Comprehensive Center (CC) | Sub |
| National Center for Systemic Improvement | Prime | South Central Regional CC | Sub |
| California CC | Prime | Regional CC Northeast | Sub |
| Mid-Atlantic CC | Prime | National Center for English Language Acquisition | Sub |
| West CC | Prime | National Charter School Resource Center | Sub |
| Center to Improve Social and Emotional Learning and School Safety | Prime | Center for the Integration of IDEA Data | Sub |
| Center for IDEA Fiscal Reporting | Prime | National TA Center to Increase the Participation and Improve the Performance of Students with Disabilities on State and Districtwide Assessments | Sub |
| National Research Center for Learning Disabilities Supplement to NERRC | Prime | Region 1 Equity Assistance Center | Sub |
| Postsecondary Deaf and Hard of Hearing Technical Assistance Center | Sub | IRIS Center at Vanderbilt University | Sub |
| Center for Accessible Materials Innovation | Sub | National Center on Early Childhood Development, Teaching, and Learning (ACF at HHS) | Sub |
| National TA Center to Improve State Capacity to Accurately Collect and Report IDEA Data | Sub | State Capacity Building Center (ACF at HHS) | Sub |

With extensive experience managing large-scale budgets, WestEd has a comprehensive set of policies and procedures that define its management and accounting practices. WestEd

routinely passes audits and reviews by funders such as WestEd’s cognizant agency, ED; the Department of Justice; the National Science Foundation; state and local agencies; and institutions of higher education. An annual audit is performed by an independent certified public accounting firm. WestEd qualifies as a low-risk auditee with respect to compliance with single audit requirements under the Uniform Guidance. The majority of WestEd’s contracts are billed on a cost-reimbursement basis. Accounting, billing, and reporting procedures have been designed specifically to meet a variety of government reporting requirements, such as the Federal Acquisition Regulation (FAR), Education Department Acquisition Regulation (EDAR), and Education Department General Administration Regulations (EDGAR). Procedures are in place for mid-month and month-end reporting, which enables project managers to review and monitor costs against budgets in a timely manner. In addition, WestEd uses an electronic timesheet system that can be accessed via a secure intranet, available only to WestEd staff, that produces weekly labor reports for project directors to monitor. WestEd has also established comprehensive purchasing policies and procedures administered by its Procurement Department. Adequate checks and balances ensure that procurement of goods and services consistently complies with the cost principles set forth in the Uniform Guidance. WestEd’s extensive written guidelines and procedures on allocating costs not only meet the requirements of the Uniform Guidance, but also routinely pass the reviews of numerous funders, including ED.

Personnel & Performance Management Systems (Program Requirement 2; Application Requirement 3.ii)

WestEd is committed to hiring and managing Region 15 CC staff who can effectively and efficiently support SEAs to provide coherent, integrated services and support systems for LEAs, REAs, and schools. We hire staff who have content expertise and who demonstrate TA

knowledge and skills and an understanding of the roles of SEAs. Many Region 15 CC staff are not only former educators but also former SEA leaders, and bring those perspectives to the work. However, no team can be expert in all areas of need, nor would it be fiscally responsible and efficient to attempt to achieve that. Region 15 CC leadership will assess the expertise and strengths of the team. When new or emerging needs arise that the CC lacks the expertise to address, Region 15 CC leadership will hire new staff, access expertise from elsewhere within WestEd, and/or contract with consultants for services from SMEs outside of WestEd (see the list of internal and external SMEs in Table C.1). We will also look to the National Center and the broader federally funded TA network for expertise. In all cases, CC staff will collaborate with SMEs, ensuring responsive, enhanced deliverables to clients. WestEd has a specific process for working with external subcontractors and consultants. When such work is needed, agreements are created that identify the expectations for both WestEd and the subcontractor or consultant. The agreement includes work to be performed and reporting requirements. We require monthly reports, which include both substantive information (tasks completed, problems encountered, solutions developed) and financial information (funds expended, staff hours allocated, and other direct costs), as well as regularly scheduled planning and check-in calls. Subcontractors and consultants are held to WestEd's quality assurance standards.

Whether TA is provided by Region 15 CC staff exclusively or aided by internal or external experts, effective management is guided by WestEd's standard procedures for work planning, task analysis, and project monitoring through all stages of work, from initial needs assessment and root cause analyses to the development, implementation, and assessment of a tiered strategic plan. Embedded within intensive TA service plans are specific capacity-building services to be

delivered, key personnel responsible, key Department-funded TA partners, milestones, outputs, outcomes, and, if appropriate, fidelity measures.

Given the size of the region and the significant number of partners, collaboration and communication will occur through and be supported by a variety of pathways. The Information Services department at WestEd provides high-functioning, robust digital infrastructure, applications, tools, and services that support communication and collaboration. We provide both in-house and vended solutions to facilitate collaboration (e.g., online meeting, project management, and survey tools; email and calendaring; and both desktop and conference-room videoconferencing) that support management and execution of communication in a timely and interactive manner.

Commitment to Diversity (Selection Criteria C.2)

WestEd is strongly committed to staff diversity and equity, and, to employing at all levels of our organization, individuals who are members of groups that have traditionally been underrepresented, based on race, color, national origin, gender, age or disability. All aspects of WestEd's personnel and human resource functions are in strict compliance with applicable federal and state laws and regulations. The biggest diversity challenge that WestEd, as an organization, faces is having an employee population that better reflects the communities we serve. Diverse populations comprise 32.3 percent of new hires thus far for this fiscal year, and people from diverse communities comprise 33.6 percent of WestEd's entire employee community. WestEd's goal is to recruit 40 percent of new hires from diverse populations.

Executive Leadership Commitment

WestEd is directed by Glen Harvey, Chief Executive Officer, and her executive team, which includes Catherine Walcott, Chief Development Officer; Sabrina Laine, Chief Program

Officer; Nancy Riddle, Chief Financial Officer; and Jannelle Kubinec, Chief Administrative Officer. This executive team strategically leads, mobilizes, and operationalizes a long-range course of action and a set of goals to align with and achieve the organization's vision. WestEd is a nonpartisan, not-for-profit organization that is tax exempt under Section 115(1) of the Internal Revenue Code.

Regional centers led by WestEd are managed through an internal leadership/management structure that leverages WestEd's outstanding leadership and experience operating proven and results-driven CCs, so that we (1) use quality assurance protocols that lead to increased use of evidence-based practices and improved performance; (2) draw from a large pool of SMEs and highly skilled change facilitators who can leverage existing and proven practices in multiple states to reduce duplication and fragmentation; (3) build strong relationships and routines for working effectively with the National Center; and (4) are reflective and manage knowledge and lessons learned so that they continuously strengthen the TA system.

The CCs served by WestEd are high-priority projects for the agency. The proposed internal leadership team for all of the CCs served by WestEd will be led by experienced CC directors who will oversee the leadership teams of WestEd's



individual CCs. This leadership structure will serve as a strong vehicle for coordination, communication, and dissemination, both internally and externally. The internal CC leadership team will establish common protocols for quality assurance, conducting needs assessments, and supporting project planning to develop tools and products on content-specific problems that can be disseminated, used, and adapted across the network of CCs served by WestEd.

Section D: Quality of the Project Evaluation

WestEd recognizes the importance of ongoing monitoring and evaluation with continuous feedback, including formative and summative data, to ensure that projects are implemented as intended and that they accomplish the desired outcomes. WestEd has selected the Utah Education Policy Center (UEPC) to conduct the evaluation for the Region 15 CC. The UEPC is an experienced CC evaluator and has designed a rigorous evaluation to study the implementation and effectiveness of Region 15 CC efforts to build SEA capacity to use evidence-based decision-making in support of improved opportunities and outcomes for all students across the four-state region. The evaluation plan for the Region 15 CC is aligned with the CC's Five-Year Plan, logic model and conceptual framework, and is organized according to:

- Procedures for ensuring feedback and continuous improvement to carry out the proposed project, including evaluation questions to guide the formative and summative components of the evaluation plan, and
- Objective performance measures related to the intended outcomes, including quantitative and qualitative data.

Procedures for Ensuring Feedback and Continuous Improvement (*Selection Criterion D.2.i; Application Requirement 6*)

The Region 15 CC evaluation plan focuses on providing ongoing feedback about the implementation of and outcomes related to the TA and capacity-building efforts outlined in the Region 15 CC logic model, conceptual framework, the Five-Year Plan and the Annual State Service Plans that will be developed after the grant is received. Table D.1 outlines the formative and summative evaluation questions that will be asked during and after project implementation to guide data collection and analysis. The formative evaluation questions focus on the use of the

Region 15 CC TA guiding principles, the implementation of the strategic activities that drive the work, and the underlying concepts, theories, and empirical support for the Region 15 CC approach. The summative evaluation questions focus on the logic model’s short- and mid-term outcomes that reflect both internal SEA capacity building (human, organizational, policy, and resource) and the external support that SEAs must provide to LEAs and schools for deep and scaled implementation.

Table D.1: Formative and Summative Evaluation Questions

| Formative Evaluation Questions |
|--|
| <ol style="list-style-type: none"> To what extent was the Region 15 CC TA high quality, relevant, and useful for meeting SEA needs? In what ways were the components of the implemented as intended, particularly with respect to: <ul style="list-style-type: none"> Implementing TA principles of establishing and sustaining relationships of trust; serving as a credible source for research, evidence-based practices, and content expertise; identifying needs and assets; emphasizing systemic capacity promoting and supporting collaboration; engaging in reciprocal accountability; and measuring impact? Using the five-step continuous improvement process (inform, select, plan, implement, and analyze) to assist clients and recipients at all levels of the system (including SEAs, REAs, and LEAs) to achieve desired outcomes, including readiness of SEAs and LEAs to work with the Region 15 CC? Drawing on the research base within four core pillars that underscore the TA efforts, including adult learning and coaching principles, leveraging EBPs as part of a larger continuous improvement strategy, attending to implementation science research by addressing multi-level factors that can impede or facilitate EBP implementation, and intentionally planning for scale at the outset and monitoring for it on an ongoing basis, using these four dimensions of scale (Coburn, 2003): depth, spread, shift in ownership, and sustainability? Supporting SEAs to address high-priority areas and needs in Region 15, including equitable access, educator excellence, improved student learning, implementing accountability systems, and SEA Infrastructure? Implementing key strategies that drive the work, including needs assessments, service plans, and prospectuses; implementation of EBPs; continuous improvement processes; and collaboration within and across states in the region and with other TA centers. Finding effective ways to leverage and build on existing efforts and funding streams to improve outcomes for all students? Developing a variety of effective structures to communicate and coordinate with clients, recipients, and internal and external stakeholders at various levels of the system? |

| Formative Evaluation Questions |
|---|
| Summative Evaluation Questions |
| <p>3. In what ways did Region 15 CC assistance and products improve SEA stakeholders' capacities to carry out their work and meet important priorities or goals, particularly with respect to:</p> <ul style="list-style-type: none"> • Increased SEA communication, coordination, and collaboration that build coherence to address identified priorities and support improvement efforts (Organizational Capacity)? • Deepened SEA and LEA knowledge, selection, and utilization of EBPs (Human Capacity)? • Increased evidence use to inform the alignment, differentiation, and enactment of policy (Policy Capacity)? • Strategic use of resources to support SEA and LEA improvement efforts (Resource Capacity)? <p>4. What direct or indirect impact did Region 15 CC assistance and products have on the policies, practices, protocols, structures, or performance of SEAs, LEAs, schools, and intermediate/regional entities, particularly with respect to:</p> <ul style="list-style-type: none"> • Improved knowledge and implementation of talent development strategies that increase the number of students who have access to effective school leaders and teachers (Human Capacity)? • Established structures, processes, and systems to implement and evaluate school improvement efforts (Organizational Capacity)? • New/revised policies based on research and evidence to address improvement needs (Policy Capacity)? • Improved equitable distribution of human and material resources to high-need schools serving disadvantaged students and those in rural communities (Resource Capacity)? |

Data Collection and Analysis Methods

The UEPC employs rigorous, systematic data collection and analysis methods to ensure that evaluation findings are balanced and objective. It gives additional attention to frequently sharing evaluation findings in user-friendly formats, so that findings can be easily used for ongoing program planning, improvement, and decision-making (Patton, 1997; Stake, 2004). Multiple methods and data sources will be used to increase the trustworthiness and reliability of the formative and summative data. Below we describe data collection methods in further detail.

Observations. The UEPC will observe TA sessions to gather information about the implementation of project activities in relation to expected outcomes. Semi-structured

observation protocols, aligned with the evaluation questions, will be used during observations. In addition, reflective feedback forms will be used to summarize observations and provide formative feedback to project staff. The combined observation data will be analyzed using structured qualitative analysis procedures (Miles, Huberman, & Saldaña, 2014).

Survey Instruments. Participants in events hosted or facilitated by the Region 15 CC will receive online questionnaires, administered through Qualtrics survey software (<https://www.qualtrics.com>), to gather information about the degree to which event outcomes were met; the quality, relevance, and usefulness of specific TA activities; and participants' perspectives on the ways in which the provided assistance, tools, or resources improved their abilities to carry out their work. Text analysis of open-ended items will be conducted within Qualtrics to produce categories of responses and sentiment analysis. Analysis of closed-ended survey responses will include frequency and descriptive analyses; responses will be combined over multiple survey administrations and integrated with open-ended items, using structured qualitative analysis procedures to organize data from multiple data sources (Miles et al., 2014). Findings from the post-session questionnaires will be available immediately to Region 15 CC staff for review and consideration.

Interviews. Interviews with the chief state school officers and key SEA and LEA personnel who work directly with the Region 15 CC will provide essential information about the quality, relevance, and usefulness of TA activities; the ways in which the components of the service plan are implemented as intended; and the degree to which SEA stakeholders' capacities to carry out their work and meet important priorities or goals have improved. The UEPC will conduct interviews with SEAs and LEAs as a baseline at the beginning of the grant period, and again annually, to gather information about the influence of capacity-building efforts over time.

Interviews will be recorded and transcribed for analysis using HyperResearch qualitative analysis software (<http://www.researchware.com/products/hyperresearch.html>). The resulting data will be used in tandem with other collected data (e.g., surveys, observations, document reviews) to document issues to be considered for ongoing program planning and improvement.

Review of Documents and Operational Data. The UEPC will gather documents and operational materials, from the Region 15 CC and from SEAs, to track changes in human, organizational, policy, and resource capacity over time. The gathered materials will include policy documents and other materials, or guidance developed for state initiatives in the identified priority areas. In addition, the UEPC will track the progress of implementation by regularly reviewing and analyzing documents including: Annual State Service Plans and individual prospectuses as appropriate; state and regional meeting TA materials (e.g., meeting agendas and notes); documents in WestEd’s internal document management system; and calendars of TA events.

Case Studies. In an effort to more deeply explore the specific strategies and mechanisms by which the Region 15 CC engages with SEAs to build capacity, the UEPC will conduct multiple longitudinal case studies (Stake, 1995; Stake, 2005; Yin, 2017) related to each of the identified areas of priority needs as they are implemented in a variety of ways in the region.

The purposes of the case studies are to provide multilayered descriptions of how the Region 15 CC provides capacity-building TA in each of the four states in the region over time and to examine the Region 15 CC’s relationships to and influences on the changes and the progress that SEAs make in implementing statewide initiatives and overcoming challenges. The case studies offer opportunities to explore the role of TA (Wandersman, Chien, & Katz, 2012) in supporting states in their constantly evolving roles which is particularly critical given ESSA

implementation.

The UEPC's adaptive systems work and research on school improvement (Rorrer, Park, Groth, & Bradley, 2018; Park, Groth, Bradley, & Rorrer, 2018) has resulted in the identification of four types of interactional relationships that exist within a system: confluence, collision, push, and pull. These types of influences are applied to actors, subsystems, and relationships between tasks. Inclusion of these relationships in the evaluation allows the UEPC to provide additional feedback on the impact of the Region 15 CC's efforts to build capacities for transformation in each of the four states and across the region.

Building on the formative and summative evaluation questions listed in Table D.1, and drawing on the combined data sources described earlier in this section, the case-study questions outlined in Table D.2 provide additional guidance and focus for analysis of Region 15.

Table D.2: Case Studies of Priority Areas

| Area of Focus | Case-Study Questions |
|--------------------------------|--|
| TA Model Implementation | <ol style="list-style-type: none">1. In what ways are key features of the Region 15 CC capacity-building TA model being carried out in each of the four states and in each of the areas of priority needs?<ol style="list-style-type: none">a. How do the Region 15 CC staff view (operationalize) their theory of action (e.g., how do they view the readiness stages, levels, and outcomes of capacity building)?b. What variations in TA strategies have been provided that may be particularly promising for certain contexts and readiness conditions?c. In what ways are the TA principles being used to design support for SEAs, and how do they interact with the key strategies and underlying research areas?d. What contextual considerations (e.g., readiness) influence the design of the TA activities?e. In what ways do the backgrounds and expertise of Region 15 CC personnel complement what is needed to support SEAs? |
| TA Model Impact | <ol style="list-style-type: none">2. In what ways does the TA influence SEAs' human, organizational, policy, and resource capacities?<ol style="list-style-type: none">a. How are the SEAs translating the provided strategies, resources, research, networks, and support into practice or policy? |

| Area of Focus | Case-Study Questions |
|------------------------|--|
| | <ul style="list-style-type: none"> b. In what ways has the Region 15 CC influenced SEA alignment, coherence, leadership, and reform implementation? c. In what ways has the Region 15 CC TA to SEAs carried over to support or influence LEA capacity? <ul style="list-style-type: none"> i. How is the SEA supporting LEAs? ii. How is the SEA holding LEAs accountable for priority areas? iii. How are the LEAs supporting schools? iv. How are the LEAs holding schools accountable? v. How is success being evaluated at the SEA and LEA levels, e.g., by engaging in continuous improvement processes? |
| Context | 3. What factors contribute to more successful or less successful TA efforts (e.g., relationships established, types of processes used, the influences of different contexts or topics)? |
| Lessons Learned | 4. What lessons can be learned about the role that regional comprehensive assistance centers play in building SEA capacity to implement reforms (for other TA providers, or other consumers of TA [e.g., SEAs], and funders of TA providers)? |

Feedback and Continuous Improvement Structures

The UEPC recognizes that knowledge mobilization and utilization garnered from the evaluation becomes part of mechanisms toward improving and sustaining TA and SEAs' work in the priority areas. Using a responsive, utilization-focused approach (Patton, 1997; Stake, 2004), the UEPC evaluation team will facilitate ongoing continuous feedback and assessment of progress toward achieving intended outcomes. Following are the evaluation reporting structures that will support feedback and continuous improvement:

1. *Immediate feedback.* The UEPC will provide electronic reports of responses to the Region 15 CC, based on post-session questionnaires and summaries of observations of various events.
2. *Monthly updates.* The UEPC will provide monthly email updates on evaluation activities, in order to coordinate evaluation activities with TA efforts and to adjust plans as needed.

3. *Biannual formative reporting.* The UEPC will provide biannual formative interim reports of evaluation findings, including updates on the case-study analyses, that can be collaboratively reviewed with CC leaders and used for ongoing improvement and planning for TA activities.
4. *Annual summative reporting.* The UEPC will provide annual reports that will summarize the evaluation findings and provide considerations for improvement.

In addition to these structures, the UEPC will periodically participate in Region 15 CC leadership meetings, to provide ongoing feedback and to identify ways to adjust TA efforts, based on evaluation feedback. The UEPC will also regularly coordinate with Region 15 CC leadership to review the evaluation plan and data collection methods, to ensure that the plan and the methods accurately reflect the region's goals and state contexts over time, as well as the Region 15 CC's needs for continuous improvement.

Objective Performance Measures Related to Intended Outcomes (*Selection Criterion D.2.ii*)

Consistent with the aforementioned data collection and analysis plan, the UEPC will compile and report on the measures identified by the Government Performance and Results Act of 1993 (GPRA) to evaluate Center effectiveness, including quantitative and qualitative data related to the following measures and the formative and summative evaluation questions listed in Table D.1 on page 81:

- Measure 1: The extent to which Region 15 CC clients are satisfied with the quality, relevance, and usefulness of services provided (see Formative Evaluation Question #1).
- Measure 2: The extent to which components of the Annual State Service Plans are implemented as intended (see Formative Evaluation Question #2).

- Measure 3: The extent to which the Region 15 CC demonstrates that capacity-building services were implemented as intended (see Formative Evaluation Question #2).
- Measure 4: The extent to which the Region 15 CC demonstrates that recipient outcomes were met (see Summative Evaluation Questions #3–4).

In addition to these GPRA measures, the evaluation plan includes several important approaches to developing measures of project implementation and outcomes, including the approaches to measuring client readiness, capacity-building, and dimensions of scale. We describe these strategies below.

Measuring Client Readiness (Additional Application Requirement)

(b)(4)

Withheld pursuant to exemption

(b)(4)

of the Freedom of Information and Privacy Act

Table D.3: Readiness Scale of Development Framework

(b)(4)

Measuring Capacity Building

Measuring the impact of capacity-building efforts can be challenging for many reasons, including issues related to attribution of outcomes within complex, multifaceted capacity-building strategies that target multiple levels of a system over long periods of time. Although there are no single scales for measuring capacity, the literature (Century, 1999; Crisp, Swerissen, & Duckett, 2000) offers several principles for designing capacity-building measures:

1. Clearly specify the strategies for building capacity and what impacts are intended (recognizing that capacity building is a process).
2. Identify measures of organizational process, rather than summing changes at the individual level.
3. Given that capacity building is a process, measures may need to change over time.

These principles suggest that qualitative case studies, which can include both quantitative and qualitative data, are often the best method for evaluating capacity-building efforts,

Table D.4 provides an overview of the components of a capacity-building framework developed to understand and document the ways in which the Region 15 CC TA supports SEAs in building capacity. Specifically, the framework is a tool to identify specific aspects of each of the four capacity domains that are expected to be impacted by the Region 15 CC TA (human,

organizational, policy, and resource capacity), so that changes in these indicators can be tracked over time. The framework reflects a particular focus on individuals who are located in the upper levels of the organization, including the chief state school officer, deputies, directors, and others with whom the CC works directly. The framework is also used to address the longitudinal nature of capacity building, by identifying stages of growth in the four capacity domains, along a continuum from emerging to optimizing. This framework will serve as a guide for collecting data in relation to the summative evaluation questions and the case-study questions.

Table D.4: Capacity-Building Framework Overview

| Human Capacity | Organizational Capacity | Policy Capacity | Resource Capacity |
|--|---|---|---|
| Leadership <ul style="list-style-type: none"> Establishes vision for change Sets goals and measures progress, including SEA ability to build LEA capacity Motivates and influences Shapes culture Content Knowledge <ul style="list-style-type: none"> Understands evidence-based practices and reform initiatives Knows relevant research and its practical implications Implementation Knowledge and Skills <ul style="list-style-type: none"> Understands organizational change (that can be applied at the SEA and LEA levels) Manages projects and programs Uses data to make evidence-based decisions and engage in continuous improvement processes | Communication <ul style="list-style-type: none"> Increases awareness and reduces redundancy Facilitates communication with internal and external stakeholders Uses feedback to improve communication Coordination <ul style="list-style-type: none"> Organizes units to be functionally aligned and coherent Evaluates and adjusts coordination efforts to accomplish outcomes Collaboration <ul style="list-style-type: none"> Fosters culture of collaboration Establishes norms for collaboration and problem solving Builds trust to enhance collaboration | Policies <ul style="list-style-type: none"> Based on guiding principles and theory of action Align with goals and outcomes Leaders promote and support implementation Practices and Procedures <ul style="list-style-type: none"> Align with policies and goals Facilitate implementation of policies and goal accomplishment Support staff to be effective in implementing EBPs and fostering communication, collaboration, and coordination | Budgets and Resources <ul style="list-style-type: none"> Leverage and allocate resources (new and existing) to achieve goals and maximize impacts Analyze and reallocate assets to support goals and priorities Technology <ul style="list-style-type: none"> Increases efficiency and effectiveness Supports strategic approaches Talent Management <ul style="list-style-type: none"> Recruit, retain, and develop staff Align performance management with goals and priorities Build external partnerships |

Measuring Dimensions of Scale

(b)(4)

Conclusion

Region 15 states face significant challenges. Student enrollments are growing rapidly, and so is the diversity of the region's K–12 student population. With increased diversity comes increased demands for expanded and differentiated educational services. Similarly, the reauthorization of ESEA, as amended by ESSA, provides new flexibility, along with increased responsibilities, for SEAs and LEAs. In the face of these changes and challenges, SEAs and LEAs are often expected to “do more with less.” Together with our subcontractors and partnering entities, WestEd welcomes the opportunity to continue to help SEAs address and find solutions to these ever-evolving issues and shared needs. WestEd has received letters of commitment from our subcontractors and letters of support from all four chief state school officers. Within 90 days of receiving funding, we will also secure all necessary client and partner commitments and MOUs.

Our team of committed professionals and subcontractors collectively possesses deep knowledge of and experience with SEA clients in the region, as well as with other recipients of CC services, such as REAs and LEAs. Having served many of these clients and recipients through the CA CC and the WCC, which are currently housed at WestEd, our staff are prepared to deliver high-quality, intensive, capacity-building TA to Region 15 on day one of the new grant period.

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Appendix A: Examples of Built Region 15 SEA Capacity by WestEd’s California and West Comprehensive Centers

Scaling a Systemic Approach to Formative Assessment in Arizona

Needs

In its work on standards and assessment with local education agency (LEA) stakeholders, the Arizona Department of Education (ADE) recognized the needs to (1) deepen understanding of formative assessment (FA) practices and student agency in order to improve teaching and learning, (2) shift the emphasis from assessments *of* learning (summative and interim tests) to assessments *for* learning (FA practices during instruction) in a balanced assessment system, and (3) scale implementation of FA across the state to deepen assessment literacy and inform teaching and learning. The West Comprehensive Center (WCC) provided support and assistance to ADE to meet these goals.

Technical Assistance (TA)

- Assisted ADE in the development of the Arizona Balanced Assessment Framework (<https://cms.azed.gov/home/GetDocumentFile?id=598093f33217e1170830a006>), which serves as the foundational document for FA’s role in ADE’s assessment system.
- Provided consultation with ADE staff to develop a theory of action and plan for scale and sustainability at the outset.
- Provided FA training to programs within and across ADE.
- Provided WestEd digital learning courses to AZ LEAs to build depth of understanding for FA practices.
- Partnered with ADE in planning and implementing a series of five statewide convenings where educators from across the state came together in a community of practice to learn about FA and share experiences. Breakout sessions featured teacher presentations.
- Provided intensive TA to three LEAs in developing plans for scaling implementation of a systemic approach to FA, including the development of teacher leaders.
- Conducted leadership trainings for district and school leaders on leading FA work.
- Partnered with the Regional Educational Laboratory West (REL West) to identify and collect evidence of impact.
- Presented with AZ educators at several national conferences to disseminate lessons learned in building a statewide approach to FA as part of a balanced overall assessment system.

Outcomes

- Increased inclusion of FA in ADE programs and in discretionary grants, as evidenced by the following divisions’ changes in resources and training: early childhood, school improvement, special education, and charter schools; three new grant opportunities available for LEAs (resource capacity).

- Increased depth of understanding of FA practice, as evidenced by teacher completion rates of related coursework, teacher and leader surveys and interviews, and observation of teachers' practice (human capacity).
- Increased use of and structures for teacher leaders, as evidenced by numbers of teachers mentoring and/or leading FA work at their sites (human capacity, organizational capacity).
- Increased LEA participation (2,322 educators in 43 LEAs across the state, over four years) in FA convenings, coursework, and training, with evidence of depth in implementation, spread in district policy and practices, shift in ownership, and sustainability (scaling; policy capacity).
- Improved student outcomes: development of student agency, as evidenced by self-reported student surveys and interviews; significant increase in number of English learner students reaching English language proficiency at (b)(4) for four years, students in the Advanced Placement (AP) English class of a participating teacher at (b)(4) scored consistently and significantly higher on AP exams, compared to students in other AP classes in the district.

Creating Tools to Improve Utah's Low-Performing Schools

Need

Staff of the Southwest Comprehensive Center (SWCC), the precursor to the WCC, assisted the Utah State Board of Education (USBE) with the development and implementation of Utah's original state system of support (SSOS) for underperforming schools and districts. This original work was completed in 2006–07, to comply with the federal No Child Left Behind (NCLB) law. SWCC staff assisted USBE with a revision of its SSOS in 2010. It was quite natural, then, for USBE staff to turn to the WCC for assistance in 2017–18 to update the SSOS to align with the federal Every Student Succeeds Act (ESSA) law (ESSA, 2015).

Technical Assistance (TA)

The WCC used a combination of approaches to provide TA to USBE:

- *Regional workshops:* In 2017, the Center on School Turnaround (CST) at WestEd hosted a multi-state meeting to assist SEAs in rethinking their systems of support. At the meeting, regional comprehensive centers (RCCs) were encouraged to support SEA staff from the states they serve. USBE sent a team of four staff members, and WCC staff provided onsite support and facilitation. USBE representatives were particularly intrigued with two: presentations on developing a theory of action: *The Four Domains for Rapid School Improvement* and *The Cycle of Continuous Improvement*. After the workshop, USBE created a theory of action for its new SSOS and adopted the Four Domains of Rapid School Improvement (CST, 2017) and the cycle of continuous improvement as the framework.
- *State-specific TA:* WCC staff worked with USBE staff to review existing SSOS needs assessment tools and realign them to the Four Domains for Rapid School Improvement. WCC and USBE staff collaborated to develop guidance and tools for all steps in the continuous improvement cycle, which were then adopted to structure the *Utah System of*

Support for School Improvement, a handbook that districts use to improve their lowest-performing schools.

- *Collaboration with LEAs*: USBE and WCC staff collaborated with representatives of LEAs to revise and refine the processes and procedures outlined in the Handbook. Using an expert jigsaw strategy, USBE and WCC solicited and received valuable feedback from LEA colleagues during a Title I Directors meeting. This feedback is reflected in the August 2018 version of the Handbook.

Outcomes

As a result of this work, there are tighter connections among needs assessment results, root cause analyses, and school improvement plans. The needs assessment is no longer a compliance activity that is independent from the improvement plan.

Increasing English Learners' for College and Careers in California

Need

The California Comprehensive Center (CA CC) assisted the California Department of Education (CDE) and its partners in making rigorous curriculum accessible to all students, including English learners (ELs), by developing English language arts/English language development (ELA/ELD) standards and evidence-based instructional resources, such as ELA/ELD, science, and health curriculum frameworks, to guide LEAs, and to support providers, in offering effective instruction geared to student readiness for college and careers.

Technical Assistance (TA)

The CA CC worked with the CDE, policymakers, and stakeholders to:

- Revise the state's 1999 ELD Standards to align and amplify the language demands found in the ELA and disciplinary literacy components of the Common Core State Standards (CCSS), resulting in combined ELA/ELD standards.
- Develop and adopt a new ELA/ELD Curriculum Framework that explains and illustrates the ways in which the standards should be leveraged for all students and ELs across subject matter, using math, science, and/or health curricula.
- Design and deliver 12 regional framework launch events, drawing more than 3,500 attendees and resulting in more than one million page views for the framework on the CDE website.
- Develop and adopt ELA/ELD, science, and health curriculum frameworks that incorporate ELA/ELD standards with subject-matter resources.

Outcomes

State and district leaders clarified and extended their understandings of the content-based and evidence-based approaches that are effective in instructing and supporting all students, including ELs, in meeting the expectations of the CCSS and college and career readiness. With well-articulated policies, standards, and resources, these leaders increased their capacities to guide, support, and monitor LEA efforts to implement rigorous curriculum and improve instructional practices for ELs. This, in turn, has increased learning, graduation rates, and readiness for success in college and careers for all students, including ELs.

Delivering Results with Performance Management in Nevada

Need

The WCC, at the request of the Nevada Department of Education (NDE), developed a three-tiered framework for NDE's Strategic Plan. The first tier outlines goals; the second tier outlines objectives for each goal; and the third tier identifies strategies or projects that the state will implement to achieve the goals. NDE requested and received assistance from the Council of Chief State School Officers (CCSSO) to refine the plan, with particular attention paid to the second and third tiers. A final onsite session with CCSSO and WCC staff emphasized "Delivering Results – Performance Management" and recommended a performance management system with routines within NDE that focus on and ensure implementation of its Strategic Plan. The NDE sought assistance from the WCC to establish this new system.

Technical Assistance (TA)

Performance management is the discipline of organizing and managing resources so that a project is completed within defined scope, quality, time, and cost constraints. With assistance and support from the WCC, NDE adopted and implemented an approach to performance management that produces results by focusing leaders on four fundamental questions:

- What are we trying to do?
- How are we planning to do it?
- At any given moment, how will we know whether we are on track?
- If not, what are we going to do about it?

This approach to performance management emphasizes delivery routines. These routines, called "stock takes," are characterized by regularity, strong execution, focus, and action on performance. At NDE, they are conducted monthly by the state's chief state school officer, with objective or project leads, directors, and deputy superintendents, and with support from WCC staff. The purposes of the monthly stock takes are to (1) present overall views of progress on objectives from the Strategic Plan; (2) deep-dive discussions of progress (supported by data) and challenges; and (3) agree upon next steps.

WCC staff assisted NDE staff in the planning, execution, and follow-up of each stock take, and provided training to NDE staff on how to prepare for them. The WCC also trained NDE directors on how to conduct "mini-stock takes" with their direct reports, to ensure that all work in their division is on track for timely and high-quality completion.

Outcomes

Stock-take routines at NDE were designed to ensure that the good intentions reflected in the Strategic Plan are, in fact, being implemented and that the plan's objectives are the real work of NDE staff. In some cases, this shift has required them to deemphasize or discontinue work that is unrelated to those objectives. Although the stock takes include an element of accountability, their major benefit is that they provide project leads opportunities to regularly discuss progress toward goals, as well as problems or barriers that need support, with the chief state school officer. As a result of this work, NDE is implementing its Strategic Plan with fidelity.

Educator Pipeline Development

Need

SEAs seek collaborative networks and effective evidence-based interventions to fulfill their responsibilities to support LEAs with persistently low-performing schools. Equity gaps in the access to and distribution of quality teachers are particularly challenging since low-performing schools are much less likely to attract and retain high-quality teachers than higher-performing schools. This exacerbates the challenges of school and district turnaround efforts. SEAs need both networks of support and effective intervention strategies for attracting and retaining high-quality teachers. One such network, the Talent for Turnaround Leadership Academy (T4TLA), is a collaborative partnership including the WCC, six other RCCs, and two national content centers: The Center for Great Teachers and Leaders (GTL Center) at the American Institutes for Research and the Center on School Turnaround at WestEd.

In 2016, nine states responded to the CST's and the GTL Center's invitation to participate in this national collaborative. Two of the seven state teams, all of which consist of both SEA- and LEA-level leaders, were from WCC-served states: Arizona and Colorado. Arizona's four participating LEAs represented the diversity of the state's LEAs: (b)(4)

(b)(4)

Technical Assistance

- Reviewed and provided analyses of statewide and district talent development data, with ADE and the four Arizona T4TLA districts, related to challenges in attracting, supporting, and retaining educators. From those analyses, the WCC provided guidance in identifying evidence-based school improvement and talent management strategies to address teams' key challenges through root cause analysis.
- Provided content expertise, evidence-based practices (EBPs), and TA to state teams at three national convenings and quarterly virtual Arizona T4TLA team meetings.
- Supported the Arizona teams in the development, implementation, and monitoring of progress with districts' action plans, including identification of impact data.
- Developed tools and resources to support implementation of identified T4TLA strategies.
- Provided targeted TA to teams on mentoring and induction as a key retention strategy.

Outcomes

- (b)(4) reversed its three-year district aggregate attrition rate of 68 percent.
- Retention rate of principals increased dramatically in 2018, with 100 percent of principals retained.
- (b)(4) Teacher satisfaction improved, as did teacher retention rates.
- (b)(4) met district objectives to increase district-level support for principal development, knowledge, and self-reflection on their own principal practice, and to improve its principal and teacher retention rates.

Improving Statewide and Local Discussions of District and School Performance in California

Goal

When California adopted its Local Control Funding Formula in 2013, state policymakers asked the CA CC for assistance in strengthening the state's education accountability, reporting, and communications infrastructure so that data would animate local and state discussions of school and district performance.

Technical Assistance

Through participation in biweekly accountability planning calls, the CA CC provided ongoing advising to staff of the CDE and the California State Board of Education (SBE). By providing *content expertise* in statistical methods, accountability indicators, and data visualization to the CDE, CA CC supported staff in the design and selection of multiple measures for accountability. This work built CDE capacity to display data so that the public can more easily understand and act upon it. As *conveners and facilitators*, the CA CC promoted transparency and, with CDE and SBE guidance, constructed a summary measure of student academic growth for the California School Dashboard.

Outcomes

- State and district leaders gained access to content and methodological expertise to support valid and clear accountability reporting.
- These leaders received support in ensuring that controversial topics related to school and district performance are evaluated and decided with transparency, data savviness, and awareness of the relevant research and best-practice literature.
- This work helped increase capacity among district leaders and principals to understand and act upon their local settings to drive high performance and continuous improvement.
- Thus, work increased public confidence in the accountability drivers of education policy and decision-making.

Examples of Outcomes from CA CC and WCC Work

| Short-Term Outcomes. Intended to be achieved in the first year, these outcomes include: | CA CC or WCC Examples |
|---|--|
| Increased SEA communication, coordination, and collaboration that build coherence to address identified priorities and support improvement efforts (organizational capacity). | <i>USBE identifies schools for State School Turnaround support. The WCC and REL West helped USBE staff, across programs, select appropriate EBPs to address achievement gaps and improve student outcomes.</i> |
| Deepened SEA and LEA knowledge, selection, and utilization of EBPs (human capacity). | <i>With support from the WCC and from the National Center for Systemic Improvement at WestEd, NDE is partnering with the (b)(4) to implement EBPs that improve literacy outcomes for students with disabilities.</i> |
| Increased evidence use to inform the alignment, differentiation, and enactment of policy (policy capacity). | <i>The WCC assisted NDE with the development and implementation of a risk assessment policy, consistent with best practices and evidence, to address an internal state audit finding.</i> |
| Strategic use of resources to support SEA and LEA improvement efforts (resource capacity). | <i>Through a multi-state discussion group, the WCC and other WestEd-operated comprehensive centers helped USBE's effort to leverage IDEA funds and other federal program funds and strengthen alignment of its state system of support for low-performing schools.</i> |
| Mid-Term Outcomes. Intended to be achieved in years 2–3, these outcomes include: | CA CC or WCC Examples |
| Increased number of students who have access to effective school leaders and teachers (human capacity). | <i>CA CC staff and CDE staff co-developed ELA/ELD standards and evidence-based resources for student learning that were adopted by the SBE and incorporated into state ELD, health, and other frameworks.</i> |
| Established structures, processes, and systems to implement and evaluate school improvement efforts (organizational capacity). | <i>The WCC supported Nevada to use ESSA evidence requirements to upgrade LEA and school practices and Nevada linked school-improvement grants to the use of evidence-based interventions. The state set aside resources to evaluate the impacts of these interventions on school and student outcomes.</i> |
| New/revised policies based on research and evidence to address improved needs (policy capacity). | <i>Arizona's 2018 English learner law requires significant changes to current instructional practice. As an initial step in determining approaches, the WCC provided research, EBPs, and immersion instructional models to inform discussions among various policy groups, including the State Board of Education.</i> |

| Mid-Term Outcomes. Intended to be achieved in years 2–3, these outcomes include: | CA CC or WCC Examples |
|--|--|
| Improved equitable distribution of human and material resources to high-needs schools serving disadvantaged students and those in rural communities (resource capacity). | <i>A rural Native American reservation LEA in Arizona implemented new supports for principals, after participating in the Talent for Turnaround Leadership Academy. After implementation of the supports, the LEA had no staff turnover for the first time in many years.</i> |
| Long-Term Outcomes. Intended to be achieved by the end of year 5, these outcomes include: | CA CC or WCC Examples |
| Sustained and scaled systems for continuous improvement in targeted, high-leverage, high-impact priorities. | <i>The CA CC helped the California Commission on Teacher Credentialing revise administrator preparation and licensing to emphasize that leaders must address achievement and opportunity disparities among student groups.</i> |
| Sustained and scaled EBPs that drive SEA and LEA improvement efforts. | <i>The CDE, with the CA CC and stakeholders from various state roles, developed and published Quality Professional Learning Standards (QPLS) geared to addressing the unique assets and needs of California’s diverse student population. QPLS are useful to both the SEA and LEAs since many CDE grants require proposals to be aligned with them. Districts now reference QPLS in professional learning planning and monitoring.</i> |
| Improved LEA practices for the equitable distribution of human and material resources. | <i>With stakeholders, the CDE’s Migrant Education Office, assisted by the CC, updated Mandated State Service Delivery Plans. Services for CA’s almost 90,000 migrant students are delivered through a network of 20 regions in 217 schools and five direct-funded LEAs. The use of EBPs improved the effectiveness and consistency of migratory student service planning and delivery.</i> |
| Improved opportunities and outcomes for all students, especially rural and low-income students. | <i>The WCC helped ADE develop, implement, and scale training in and use of formative assessment (FA) among LEAs as part of ADE’s ongoing effort to build a balanced assessment system statewide. Through leadership trainings, ADE increased LEA participation in FA (2,322 educators in 43 LEAs across the state, over four years).</i> |

SWCC/WCC History Map: College- & Career-Ready Regional Collaborative

| | 2008–2011 | 2012–2014 | 2015–2019 |
|-------------------------|---|---|---|
| ACTIVITIES | <p>Annual summits in Santa Fe (2008 and 2009), Phoenix (2010), and San Francisco (2011):</p> <ul style="list-style-type: none"> ▪ Experts presented research ▪ Participants networked and shared approaches ▪ State teams reflected and planned <p>Topics: 21st-century skills, adolescent literacy, balanced assessment systems, data systems and uses, dropout prevention, high school redesign, individualized learning plans, secondary pathways, tiered interventions, transitions</p> <p>Quarterly calls, to:</p> <ul style="list-style-type: none"> ▪ Share state news and updates ▪ Plan regional events ▪ Learn about new resources ▪ Receive state-specific technical assistance | <p>Annual summits in Las Vegas (2012), Salt Lake City (2013), and Golden (2014):</p> <ul style="list-style-type: none"> ▪ Experts presented research ▪ Participants networked and shared approaches ▪ State teams reflected and planned <p>Topics: Adolescent literacy, career pathways, dropout prevention, career counseling and guidance, high school redesign, individualized learning plans and portfolios, personalization, student supports and interventions, transitions</p> <p>Quarterly calls, to:</p> <ul style="list-style-type: none"> ▪ Share state news and updates ▪ Plan regional events ▪ Learn about new resources ▪ Receive state-specific TA | <p>Southwest Pathways Conference (Scottsdale, 2015 and 2016) and Western Pathways Conference (Denver, 2017; Salt Lake City, 2018; Portland, 2019):</p> <ul style="list-style-type: none"> ▪ Staff assisted Global Pathways Institute (conference organizer) with agenda, materials, and sessions ▪ Experts presented research and initiatives ▪ Participants networked, explored exemplary programs, and shared approaches ▪ State teams created action plans <p>Topics: Career development, competency-based programs, dual enrollment, early college, industry certifications, opportunity youth, state and federal policies, work-based learning, workforce development</p> <p>Continued quarterly calls with regional collaborative to share state news and updates, plan regional events, learn about new resources, and receive state-specific technical assistance</p> |
| PARTICIPANTS & PARTNERS | <p>SEA teams from Arizona, Colorado, Nevada, New Mexico, and Utah</p> <p>Assessment and Accountability Center Center on Instruction National High School Center REL West</p> | <p>SEA teams from Arizona, Colorado, Nevada, and Utah</p> <p>College and Career Readiness and Success Center</p> | <p>Teams of business, education, and political leaders from Arizona, Colorado, Nevada, New Mexico, Utah, and tribal nations in 2015 and 2016; teams from 19 western states in 2017–19</p> <p>WestEd provided support to the Global Pathways Institute (conference organizer). Additional partners included business roundtables, the College and Career Readiness and Success Center, the Education Commission of the States, and the Western Governors' Association.</p> |
| OUTCOMES | <ul style="list-style-type: none"> ▪ Increased knowledge and understanding of college and career readiness concepts ▪ Cross-agency secondary leadership teams ▪ Mechanisms for cross-agency communication and knowledge management ▪ State mandates for individualized learning plans for secondary students | <ul style="list-style-type: none"> ▪ Increased knowledge and understanding of career literacy and development ▪ SEAs created postsecondary readiness offices to support the field ▪ Collaborative members mentored colleagues in other states ▪ State definitions of college and career readiness | <ul style="list-style-type: none"> ▪ Cross-state collaboration on strategy development (e.g., career development, comprehensive counseling and guidance, work-based learning) ▪ Cross-state collaboration on policy implementation (e.g., career and technical education, individualized learning plans, graduation requirements) ▪ Resource and policy alignment (i.e., ESSA, Perkins, WIOA) |

Appendix B: Additional Region 15 Needs Analysis

Region 15 Context

| State | Population | % Urban | % Rural | Four Largest Cities | Median Household Income | State Unemployment Rate |
|-------|------------|---------|---------|--|-------------------------|-------------------------|
| AZ | 7,016,270 | 89.8% | 10.2% | Phoenix, Tucson, Mesa, Chandler | \$53,510 | 5.0% |
| CA | 39,536,653 | 98% | 2% | Los Angeles, San Diego, San Jose, San Francisco | \$67,169 | 4.1% |
| NV | 2,998,039 | 91% | 9% | Las Vegas, Henderson, Reno, North Las Vegas | \$55,434 | 4.4% |
| UT | 3,101,833 | 90% | 10% | Salt Lake City, West Valley City, Provo, West Jordan | \$65,325 | 3.2% |

Data Sources: Region 15 Context

- *Population:* Census Bureau Estimates of the Total Resident Population and Resident Population Age 18 Years and Older for the United States, States, and Puerto Rico: July 1, 2017: <https://www2.census.gov/programs-surveys/popest/tables/2010-2017/state/detail/SCPRC-EST2017-18+POP-RES.xlsx>
- *Median Household Income:* Census Bureau 2013-2017 American Community Survey 5-Year Estimates: https://factfinder.census.gov/faces/tableservices/jsf/pages/productview.xhtml?pid=ACS_17_5YR_DP03&src=pt
- *State Unemployment Rate:* Bureau of Labor Statistics Local Area Unemployment Statistics (November 2018 rate): <https://www.bls.gov/web/laus/laumstrk.htm>
- Nevada Geographic and Demographic Data, Nevada Aging and Disability Services Division: <http://adsd.nv.gov/uploadedFiles/adsdnv.gov/content/About/Reports2/StatePlan/2016AppendixB.pdf>
- Quick Facts about Rural California: https://ucanr.edu/sites/UC_CCP/files/125967.pdf

Region 15 State Leadership

| | AZ | CA | NV | UT |
|-----------------------------------|-------------------|-----------------------|-------------------|------------------|
| Chief State School Officer | Kathy Hoffman | Tony Thurmond | Jhone Ebert | Sydnee Dickson |
| In Position Since | 2019 | 2019 | 2019 | 2016 |
| Governor | Doug Ducey (R) | Gavin Newsom (D) | Steve Sisolak (D) | Gary Herbert (R) |
| In Position Since | 2015 | 2019 | 2019 | 2009 |
| Governance Board Head | Lucas J. Narducci | Linda Darling-Hammond | Elaine Wynn | Mark Huntsman |
| In Position Since | 2017 | 2019 | 2017 | 2014 |

Selected Measures of Teacher Compensation, Qualification, and Turnover in Region 15 States

| | 2017 Starting Salary | 2018 Est. Average Teacher Salary | 10-Yr.* % Change in Avg. Teacher Salary | Inexperienced Teachers (%) | Uncertified Teachers (%) | Teachers Who Plan to Leave the Profession (%) |
|---------------|----------------------|----------------------------------|---|----------------------------|--------------------------|---|
| Nation | \$38,617 | \$60,483 | -4.0% | 12.7% | 2.6% | 7.3% |
| AZ | \$33,973 | \$47,746 | -11.1% | 17.3% | 11.7% | 12.0% |
| CA | \$44,782 | \$81,126 | 4.5% | 12.7% | 2.1% | 5.2% |
| NV | \$37,973 | \$57,812 | -0.3% | 11.4% | 6.7% | n/a |
| UT | \$35,722 | \$47,604 | -10.5% | 15.7% | 5.0% | 6.7% |

* 2009–2018.

Data Sources: Selected Measures of Teacher Compensation, Qualification, and Turnover in Region 15 States

- 2017 Starting Salary; Inexperienced Teachers (%); Uncertified Teachers (%); Teachers Who Plan to Leave the Profession (%): Learning Policy Institute (2018): <https://learningpolicyinstitute.org/product/understanding-teacher-shortages-interactive>
- 2018 Est. Average Teacher Salary; 10-Yr. % Change in Avg. Teacher Salary: National Education Association (2018): https://www.nea.org/assets/docs/180413-Rankings_And_Estimates_Report_2018.pdf

NAEP Results Data: Percentages of Arizona Student Subgroups Scoring at or above Proficiency Level, Compared to the State Average

| | Mathematics, Grade 4 | Mathematics, Grade 8 | Reading, Grade 4 | Reading, Grade 8 | Science, Grade 4 | Science, Grade 8 |
|---|-------------------------|-------------------------|---------------------|---------------------|---------------------|---------------------|
| All Students | 34 | 34 | 30 | 30 | 32 | 24 |
| American Indian/Alaska Native | -15 | -17 | -20 | -10 | -22 | -16 |
| Asian/Pacific Islander | +27 | +68 | +28 | +21 | NA | +23 |
| Black | -21 | -13 | -10 | -11 | -13 | -12 |
| Hispanic | -11 | -14 | -12 | -10 | -12 | -10 |
| White | +16 | +14 | +16 | +13 | +19 | +17 |
| Two or More Races | NA | NA | +20 | NA | NA | NA |
| Free or Reduced-Price Lunch Eligible | -13 | -13 | -13 | -10 | -13 | -10 |
| Students with Disabilities | -24 | -26 | -18 | -23 | -19 | -15 |
| English Learners | -28 | -27 | -28 | -29 | -30 | NA |

NAEP Results Data: Percentages of California Student Subgroups Scoring at or above Proficiency Level, Compared to the State Average

| | Mathematics, Grade 4 | Mathematics, Grade 8 | Reading, Grade 4 | Reading, Grade 8 | Science, Grade 4 | Science, Grade 8 |
|---|-------------------------|-------------------------|---------------------|---------------------|---------------------|---------------------|
| All Students | 31 | 29 | 31 | 32 | 24 | 24 |
| American Indian/Alaska Native | NA | NA | NA | NA | NA | NA |
| Asian/Pacific Islander | +33 | +34 | +28 | +22 | +22 | +17 |
| Black | -16 | -19 | -15 | -14 | -13 | -11 |
| Hispanic | -12 | -14 | -11 | -13 | -12 | -14 |
| White | +16 | +15 | +16 | +18 | +19 | +22 |
| Two or More Races | +15 | +22 | +15 | +18 | NA | NA |
| Free or Reduced-Price Lunch Eligible | -13 | -14 | -13 | -13 | -13 | -14 |
| Students with Disabilities | -20 | -24 | -21 | -26 | -14 | -20 |
| English Learners | -22 | -24 | -23 | -28 | -21 | -22 |

NAEP Results Data: Percentages of Nevada Student Subgroups Scoring at or above Proficiency Level, Compared to the State Average

| | Mathematics, Grade 4 | Mathematics, Grade 8 | Reading, Grade 4 | Reading, Grade 8 | Science, Grade 4 | Science, Grade 8 |
|---|-------------------------|-------------------------|---------------------|---------------------|---------------------|---------------------|
| All Students | 31 | 27 | 31 | 28 | 24 | 27 |
| American Indian/Alaska Native | NA | NA | NA | NA | NA | NA |
| Asian/Pacific Islander | +28 | +20 | +14 | +12 | +7 | +13 |
| Black | -17 | -17 | -11 | -13 | -12 | -18 |
| Hispanic | -9 | -9 | -9 | -8 | -9 | -12 |
| White | +11 | +13 | +11 | +11 | +14 | +17 |
| Two or More Races | +7 | +8 | +8 | +6 | +5 | +10 |
| Free or Reduced-Price Lunch Eligible | -9 | -11 | -10 | -8 | -9 | -11 |
| Students with Disabilities | -20 | -20 | -19 | -24 | -17 | -20 |
| English Language Learners | -25 | -24 | -28 | -26 | -17 | -23 |

NAEP Results Data: Percentages of Utah Student Subgroups Scoring at or above Proficiency Level, Compared to the State Average

| | Mathematics, Grade 4 | Mathematics, Grade 8 | Reading, Grade 4 | Reading, Grade 8 | Science, Grade 4 | Science, Grade 8 |
|---|-------------------------|-------------------------|---------------------|---------------------|---------------------|---------------------|
| All Students | 45 | 39 | 41 | 38 | 45 | 50 |
| American Indian/Alaska Native | NA | NA | NA | NA | NA | -28 |
| Asian/Pacific Islander | -11 | -13 | NA | -2 | NA | -14 |
| Black | NA | NA | NA | NA | NA | NA |
| Hispanic | -20 | -25 | -23 | -18 | -28 | -27 |
| White | +6 | +7 | +6 | +5 | +7 | +7 |
| Two or More Races | +3 | NA | NA | NA | -1 | NA |
| Free or Reduced-Price Lunch Eligible | -15 | -17 | -15 | -13 | -15 | -18 |
| Students with Disabilities | -26 | -33 | -25 | -33 | -22 | -36 |
| English Learners | -35 | -38 | -35 | -35 | -42 | -49 |

Data Sources: NAEP Results Data

- *Arizona:* <https://www.nationsreportcard.gov/profiles/stateprofile/overview/AZ>
- *California:* <https://www.nationsreportcard.gov/profiles/stateprofile/overview/CA>
- *Nevada:* <https://www.nationsreportcard.gov/profiles/stateprofile/overview/NV>
- *Utah:* <https://www.nationsreportcard.gov/profiles/stateprofile/overview/UT>
- **Note:** For all NAEP results data tables, mathematics and reading data are taken from the 2017 NAEP administration, and science data are taken from the 2015 NAEP administration.

Appendix C: Five-Year Plans

Five-Year Plan for One High-Leverage Problem in Each Priority Need

EQUITABLE ACCESS

High-Leverage Problem: To improve access to rigorous curricula and quality instruction for dual language learners/English learners, states need coherent and interrelated policies and resources that aid practitioners in decisions related to reclassification from dual language learner/English learner status and tracking progress in attaining English language proficiency.

Key Work Strand: Build SEA capacity to sustain, scale, and deepen implementation of policies and resources focused on improving academic outcomes for dual language learners/English learners in grades preschool through twelve.

Year 1 — Extend the knowledge base of the SEA team on dual language learners/English learners–related policies, resources, and EBPs related to sustaining and scaling their deep implementation.

Year 2 — Support the SEA to lead regional leadership team convenings, including self-evaluation and progress monitoring; use participant feedback for continuous improvement.

Year 3 — Continue to support the SEA to lead and improve regional leadership team convenings; support the SEA to connect lessons learned to new policies or resources (e.g., curriculum frameworks, standards).

Year 4 — Support the SEA to lead the regional teams to provide regional conferences and ongoing professional learning for the field; create guidance on measuring impact related to sustained and deep implementation.

Year 5 — Evaluate regional leadership team convenings; develop online toolkit on best practices for sustained and deep implementation for LEA and school leaders, based on evaluation results; develop professional learning resources for REAs and other providers, to support consistent and effective implementation of the toolkit.

| Short-Term Outcome: | Mid-Term Outcome: | Long-Term Outcome: |
|--|--|--|
| Clearer policies, guidance, and resources from SEAs, aimed at improving academic outcomes for dual language learners/English learners. | Districts adopt new policies and report increased numbers of reclassification from dual language learner/English learner status. | Districts with intensive supports report gains in math and ELA achievement for dual language learner/English learner students that have been reclassified. |

EDUCATOR EXCELLENCE

High-Leverage Problem: States need to support and retain educators, at all levels, who have the knowledge, skills, and dispositions to improve outcomes for all student populations.

Key Work Strand: Build SEA capacity to guide and support LEAs to develop and implement high-quality professional learning (PL) systems that result in continuously improving educator performance to increase access to and retention of effective educators.

Year 1 — Facilitate SEA internal/partner team meetings to expand shared knowledge of evidence-based PL that addresses state and local priorities and develops and retains effective educators; identify LEA PL examples and effects; collect retention data.

Year 2 — Assist the SEA in leading regional team sessions, modeling effective PL focused on EBPs to improve student outcomes, and collecting feedback from LEAs on progress using EBPs, session information, and materials for future planning; initiate documentation of LEA practices; collect retention data.

Year 3 — Coach the SEA to partner with intermediaries/LEAs for regional team sessions; disseminate SEA guidance and researched LEA examples; support the SEA team in linking PL and EBPs with policies, initiatives (e.g., standards and frameworks), minority teacher recruitment, and state system of support; assist the SEA and LEAs to co-plan regional sessions including LEA exemplars; collect data.

Year 4 — Support the SEA to lead regional teams in providing ongoing regional and local PL; help the SEA team and partners refine guidance; assist the SEA in determining indicators/measures to evaluate the effects of EBPs on PL systems and of educator use of EBPs to improve student outcomes; collect and analyze retention data.

Year 5 — Assist the SEA in assessing the effects of EBPs on PL, educator use of EBPs targeting student outcomes, and retention data; collaborate with the SEA and with regional teams to use assessment data to edit exemplars and resources for online dissemination; develop PL resources for LEAs, school leaders, county offices of education, and other providers, to facilitate consistent and effective implementation of the resources.

Short-Term Outcome:
Increased SEA and LEA understanding of evidence-based PL systems and the related implementation steps.

Mid-Term Outcome:
Clearly articulated LEA PL systems that have goals and strategies to initiate, implement, and scale effective PL practices.

Long-Term Outcome: Growth in measures of teacher professional learning; gains in reports of teacher and school leader satisfaction; and gains in teacher and school-leader retention rates.

IMPROVED STUDENT LEARNING

High-Leverage Problem: To provide viable pathways for all students to graduate college- and career-ready, SEAs, LEAs, and partners must collaborate on options that link academic and workplace learning with students' assets and personal goals.

Key Work Strand: Build SEA capacity to convene and sustain a network of K–12, community college, and university educators and business and industry employers, that is focused on using extant data and evidence-based and promising practices, along with student voice, to coalesce strategies directed toward increasing the effectiveness of state and local career/technical education (CTE) pathways.

Year 1 — Facilitate SEA scan of current CTE landscape (e.g., Perkins implementation, federal and state CTE initiatives, career pathway programs; availability of evidence-based practices from new federal CTE network); identify existing and needed partners, including the federal National Comprehensive Center; based on information, co-lead SEA team to finalize goals for CTE pathway network, partners, inclusion of student voice, and network convening.

Year 2 — Collaborate with the SEA and with partners in planning and conducting a CTE pathway convening and follow-through regional sessions; help develop facilitation skills and materials, as needed; finalize plan to collect and document student voice re: CTE pathway improvements and results.

Year 3 — With the SEA and partners, virtually co-facilitate 2–3 regional sessions for exchanging CTE implementation challenges, emerging evidence-based practices, new

regulations and resources, and progress toward increased learning and workforce outcomes for diverse students.

Year 4 — Collaborate with the SEA and with partners in planning and conducting a CTE pathway convening; summarize and share examples of CTE pathways that include academic, CTE, and personalized learning; continue regional exchange sessions.

Year 5 — Assist the SEA in assessing network outcomes and using assessment data to edit CTE examples, resources, and links to student outcomes for a report to share with partners and stakeholders and their organizations.

Short-Term Outcome:

Evidence of education and industry collaboration in support of student learning, such as assessments of current links between academic and workforce learning, gaps in the system, and reviews of potential evidence-based programs to address such gaps.

Mid-Term Outcome:

New processes and policies in place to systematically gather student perspectives and include them in designing, updating, and personalizing CTE pathway options. Evidence of stronger partnerships among education, business, and other organizations to deliver CTE pathway options.

Long-Term Outcome:

Growth in the delivery of and access to CTE pathway options, particularly for diverse student populations and underserved communities; evidence that participating students show gains in academic and skill achievement, engagement, and graduation rates.

IMPLEMENTING ACCOUNTABILITY SYSTEMS

High-Leverage Problem: State accountability systems are dynamic, and as district and school needs change, new data are available, and policies shift, accountability systems must be evaluated, revisited, and adjusted as necessary to align with the system's intended signals of and expectations for continuous improvement.

Key Work Strand: Build SEA capacity to monitor, analyze, and refine state accountability systems and associated policies to more precisely and equitably identify low and underperforming schools served by statewide systems of support.

Year 1 — Develop SEA capacity and organizational structures to support the continuous improvement, precision, and equity focus of statewide accountability systems; extend the knowledge base of the SEA team on indicators, policies, and resources related to equitable statewide accountability systems; create and/or review and refine state theories of action (ToAs) for statewide accountability systems.

Year 2 — Build SEA capacity to establish and/or refine goals, timelines, and implementation plans, based on stakeholder feedback and the ToA; develop policy and practice guidance that are supportive of the ToA for the statewide accountability system; support implementation of processes for determining whether and how current measures within the accountability system are identifying equity issues as intended.

Year 3 — Review accountability system performance against the ToA and stakeholder feedback and adjust accordingly; evaluate and revise reporting mechanisms to ensure that they are working as intended for all audiences; support analysis and understanding how identification criteria and types/intensity of support for schools impact statewide systems of support.

| | | |
|--|---|---|
| <p>Year 4 — Build and strengthen partnerships with other system actors to improve coordination within and between agencies charged with developing, monitoring, and refining the statewide accountability system and the statewide systems of support.</p> <p>Year 5 — Review accountability system performance against the ToA and stakeholder feedback and adjust accordingly; refine goals, timelines, and implementation plans, based on stakeholder feedback and the ToA.</p> | | |
| <p>Short-Term Outcome: Increased SEA capacity to develop, communicate, and refine internal organizational policies and structures related to the statewide accountability system; increased SEA human capacity to communicate about, disseminate, and enact policies and resources aimed at improving equity through accountability.</p> | <p>Mid-Term Outcome: State activities to monitor, analyze, and refine statewide accountability systems in ways that reflect stakeholder feedback and enable refinement of progress reports on state goals.</p> | <p>Long-Term Outcome: Evidence of state, local, and school actions, particularly in those schools identified for improvement, that have been informed by accountability measures and that result in gains in educator capacity, and improvements in measures of student achievement, engagement, and well-being.</p> |

SEA INFRASTRUCTURE

High-Leverage Problem: States need coherent and aligned policies to develop and implement statewide systems of support to improve the performance of chronically underperforming schools.

Key Work Strand: Improve SEA capacity to support low and underperforming schools in using evidence-based decision-making to improve outcomes for disadvantaged students.

Year 1 — Develop leadership capacity and organizational structures to support the implementation and continuous improvement of the statewide system of support, including developing and documenting explicit roles, responsibilities, and expectations.

Year 2 — Develop policy and practice guidance that articulate a clear theory of action for the system of support.

Year 3 — Develop a state-level data infrastructure and processes to inform continued refinement of the system of support over time.

Year 4 — Build and strengthen partnerships with other system actors to improve coordination within and between agencies charged with developing, monitoring, and refining the system of support.

Year 5 — Review implementation results and adjust system of support accordingly.

| | | |
|--|---|---|
| <p>Short-Term Outcome: Clearly articulated goals and systems of support for low-performing schools.</p> | <p>Mid-Term Outcome: Guidance and support for intermediaries and district leaders who are supporting school improvement efforts.</p> | <p>Long-Term Outcome: Evidence of gains in student performance measures among CSI/TSI schools.</p> |
|--|---|---|

ADI: Meeting Challenges of Rural, Remotely Located Schools Serving Communities in Poverty (Including Schools Serving Native American Students)

| Priority Area: Equitable Access | |
|--|--|
| High-Leverage Problem | Rural, remotely located schools serving communities in poverty, including schools serving Native American students, lack effective collaborations among the spheres of their systems (SEA, LEA, REA, TEA) that focus on their circumstances; mechanisms to build local capacities, including those of in-service leaders and teachers, to employ EBPs, and strategies to enhance their students' motivation to learn and persist in school and those students' skills to succeed in schooling. |
| Work Strand | Convenings of state teams that provide intensive capacity-building services for SEA personnel in collaboration with representatives of LEAs, TEAs, and REAs serving rural, remotely located schools in communities of poverty. |
| Key Personnel Responsible | (b)(4) |
| Milestones | <p>Establish Inter-System Collaborations</p> <ul style="list-style-type: none"> • Convenings of state teams including the SEA and representative LEAs, TEAs, and REAs with responsibility for rural and Native American education, to develop communication plans and establish collaborations focused on schools and students in these communities. • Monthly virtual meetings with state teams to share progress on communication and collaboration plans. <p>Build Local Capacity to Improve Schools</p> <ul style="list-style-type: none"> • Train-the-trainers training of SEA, LEA, REA, and TEA personnel to select, tailor, and implement school-level models based on the Four Domains for Rapid School Improvement, such as the Instructional Transformation Academy and the Culture Shift Institute. • Document school- and classroom-level integration of strategies and practices included in Four Domains–based trainings. <p>Strengthen Students' Capabilities as Learners</p> <ul style="list-style-type: none"> • Establish measures to gauge students' motivations to learn and metacognitive skills to succeed in school that are referenced to students in schools and communities designated for service by this project. • Create a database to annually record and report on measures for students (without identification of students) in schools served by this project. • Develop practice guides highlighting successful implementation of the models sponsored by the SEA with LEAs, TEAs, and REAs for schools. |

| | |
|--------------------------|--|
| Expected Outcomes | <p>Short-Term:</p> <ul style="list-style-type: none"> • Teams from each SEA, with representatives from LEAs, TEAs, and REAs, will attend an annual convening and develop, implement, and share progress on inter-system communication and collaboration. • State teams will participate in monthly virtual meetings to report progress in implementing their communication and collaboration plans. <p>Mid-Term:</p> <ul style="list-style-type: none"> • Each state will implement the selected model or models in rural, remotely populated schools, serving communities in poverty, including schools serving Native American students. • Participants will demonstrate significant gains in knowledge of research and practice on personalized learning and lesson design, based on pre- and post-training assessments. <p>Long-Term:</p> <ul style="list-style-type: none"> • Participating schools will demonstrate gains in student outcomes. • Participating schools will demonstrate year-over-year improvement on measures of students' capabilities as learners. |
|--------------------------|--|

ADI: Personalized Learning Academy for Rural Schools

| Priority Area: Improved Student Learning | |
|---|---|
| High-Leverage Problem | Personal and social aspects of students' growth contribute strongly to students' academic success. This is especially critical for rural, remotely located schools serving communities in poverty, including schools serving Native American students. |
| Work Strand | In collaboration with ADI and with the National Center, the Region 15 CC will launch an academy focused on delivering capacity-building services to SEAs, LEAs, REAs, and tribal education agencies (TEAs) serving rural, remotely located schools in communities of poverty. We will work with ADI and with the National Center to develop and deliver professional learning opportunities that strengthen practitioners' abilities to select and use evidence-based strategies that enhance students' motivations to learn and persist in school and to build their skills to succeed in school through personalization. |
| Key Personnel Responsible | (b)(4) |
| Milestones | <p>Convene state teams of representatives from SEAs, REAs, LEAs, and TEAs to develop plans for focused and aligned services that address, through instruction, the unique needs of rural students;</p> <p>Conduct monthly virtual meetings with SEA teams to provide TA and support;</p> <p>Conduct monthly virtual meetings with state teams to share progress, challenges, and potential solutions;</p> <p>Measure and document progress; and</p> <p>Develop and distribute practice guides on personalized learning that reflect lessons learned from this project.</p> |
| Expected Outcomes | <p>Short-Term:</p> <ol style="list-style-type: none"> Focusing the State's Efforts <ul style="list-style-type: none"> Teams from the region will attend the annual convening and will develop or revise plans and operational procedures for assisting districts and schools in building students' PSCs through instruction. State teams will participate in monthly virtual meetings to report progress in implementing their plans to take personalization to scale. Engaging SEAs and Districts to Address Students' PSCs through Instruction <ul style="list-style-type: none"> Teams will complete a four-day training to implement the state-tailored version of the Personalized Learning Academy. |

| | |
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| | <p>Mid-Term:</p> <ul style="list-style-type: none"> • Each team will implement the Personalized Learning Academy. • 90% of school and district personnel participating in training will demonstrate significant gains in knowledge of research and practice on personalized learning and lesson design, based on pre- and post-training assessments. • 75% of schools participating in the training will demonstrate, using an online tracking tool, evidence of completion of 75% of actions assigned in trainings. <p>Long-Term:</p> <ul style="list-style-type: none"> • 85% of participating schools will demonstrate year-over-year improvement on measures of PSC. |
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UVA-PLE: SEA Executive Leadership Program

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| CC Lead: Mary Peterson Chief State School Officers (CSSOs): Kathy Hoffman (AZ); Jhone Ebert (NV); Syd Dickson (UT) | | |
| Project Description: This program, a partnership with the University of Virginia Darden School of Business, provides executive leadership training and support to CSSOs and their executive teams. | | |
| Annual Milestone (Y1): <ul style="list-style-type: none"> Needs assessment and root cause analyses with CSSOs to identify key issues that will be addressed at a minimum of three retreats. | | |
| Annual Milestone (Y2): <ul style="list-style-type: none"> Convene CSSOs and executive leaders to identify and address high-priority needs at a minimum of three retreats; help SEA leaders implement changes to improve organizational coherence. | | |
| Annual Milestone (Y3): <ul style="list-style-type: none"> Develop supports for implementation and evaluation of change efforts. | | |
| Annual Milestone (Y4): <ul style="list-style-type: none"> Conduct ongoing needs assessments to remain proactive and responsive to organizational needs. | | |
| Annual Milestone (Y5): <ul style="list-style-type: none"> Establish effective practices to scale and sustain system improvements. | | |
| Short-term Outcomes <ul style="list-style-type: none"> Increased understanding of needs, root causes, best practices, and dispositions (human capacity). Increased communication, coordination, and collaboration with partners and stakeholders to address state education goals (organizational capacity). | Mid-term Outcomes <ul style="list-style-type: none"> Implement new policies and approaches in organizational management to improve productivity, efficiency, and coherence (policy and organizational capacity). | Long-term Outcomes <ul style="list-style-type: none"> Sustain improvements in organizational management to achieve strategic goals and support stakeholders. |

Appendix D: Region 15 Corrective Action Findings

| Date of report and summary statement, followed by specific language from the findings ¹⁰ | |
|---|---|
| State | Summary of Action Required |
| AZ | <p>2018: LEA procurement policies, new grant award notification template, use of risk assessment data and revised risk-based monitoring process and protocol, update of review of consortium LEAs' practices around equitable services concerning use of funds and providing services to private schools, and weights used to identify CSI and ATSI schools.</p> <p>Specific language:</p> <ul style="list-style-type: none"> • Procurement: ADE must provide the Department with evidence that it has developed processes to review LEA procurement policies and procedures and included these processes in subrecipient monitoring • Allocations: ADE must provide evidence of updates to the grant award notification template or system no later than 30 business days following receipt of this report so that future awards will include all required information. • Risk Assessment: ADE must provide evidence that it used the results of the March 2018 risk assessment to determine subrecipient monitoring activities for the 2018-2019 school year. • Subrecipient Monitoring: ADE must provide to the Department a plan and timeline for implementing a revised risk-based monitoring process and protocol, which must address how it ensures that all LEAs that receive Federal funds have policies and structures in place to comply with Federal requirements, including segregation of duties for internal controls. • Equitable Services: ADE must provide to the Department an update of its review of the practices of the consortium and its participating LEAs for consistency with statutory and regulatory requirements. In particular, ADE must ensure that consortia and their participating LEAs meet the ESEA requirements with respect to: <ul style="list-style-type: none"> - Consultation and expenditure of funds, including the requirement that an LEA must consult with appropriate private school officials on whether equitable services should be provided by a consortium; - The requirement that an LEA must also consult with appropriate private school officials on what services should take place in order to meet the needs of participating students, teachers, and families in the private schools; - That each LEA must expend funds for equitable services consistent with the amount allocated for such services and maintain records reflecting such expenditure for each LEA); and, - As needed, establish required corrective actions that the consortium and its members must take. • State Plan: ADE must submit to the Department draft amendments pertaining to the weights it used to identify CSI and ATSI schools, a methodology to identify K-2 schools as CSI or ATSI, and the graduation rate(s) used to identify CSI low graduation rate schools (e.g., the five-year adjusted cohort rate). ADE must implement its plan as approved |
| CA | <p>2014: Address School Improvement Grant (SIG) schools' staff recruitment, placement, retention, evaluations, and rewards.</p> <p>Specific language:</p> <ul style="list-style-type: none"> • SIG – transformation model schools – timeline for implementing principal and teacher evaluation system if not in place • SIG – transformation model schools – tool or rubric to identify and reward school leaders, teachers, and other staff who have increased student achievement |

¹⁰ Monitoring findings and required actions from <https://www2.ed.gov/admins/lead/account/performance/index.html>

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| | <ul style="list-style-type: none"> • SIG – transformation model schools – Develop and implement a plan to recruit, place and retain staff with necessary skills to meet student needs • Submit a waiver to permit cohort II SIG schools to use unspent funds for 4th year of SIG implementation |
| NV | <p>2013: ESEA flexibility monitoring report https://www2.ed.gov/admins/lead/account/performance/index.html?queries%5Bsearch%5D=Nevada) had no findings.</p> <p>2011 SIG monitoring had only two findings:</p> <ol style="list-style-type: none"> 1) Submit to ED a plan for how it will ensure that the LEAs funded in the FY 2010 competition to implement the turnaround model develop and use locally adopted competencies in their hiring processes; and 2) Work with its LEAs to ensure that all schools implementing the turnaround or transformation models have significantly increased the number of school hours and that the additional time is being consistently used for instructional purposes or for teachers to collaborate, plan, and engage in professional development by the start of the 2011–2012 school year |
| UT | <p>2014: Not sufficiently monitoring Title III activities in the state, or releasing funds to LEAs in a timely manner.</p> <p>Specific language:</p> <p>Area 1: Standards, Assessments and Accountability</p> <ul style="list-style-type: none"> • ensure that USOE Title III monitoring activities focus on compliance with Title III fiscal and programmatic requirements, particularly in the area of ensuring LEAs have proper use of funds and are not supplanting with Title III funds. • provide evidence that USOE ensures its subgrantees meet the requirements regarding parental notification for identification and placement in Title III language instruction educational programs. • provide evidence that USOE ensures its Title III subgrantees comply with the requirement to annually assess the English language proficiency of all LEP students in grades K-12. • develop and submit to ED a plan, including a timeline, which demonstrates USOE will accurately apply Title III accountability provisions to subgrantees that fail to meet AMAOs. • develop and submit to ED a detailed plan that delineates the steps USOE will take to ensure accurate and timely collection of data on the number or percentage of immigrant children and youth from all LEAs. <p>Area 2: Instructional Support</p> <ul style="list-style-type: none"> • provide evidence that demonstrates USOE ensures subgrantees provide high-quality language instruction educational programs. • provide evidence that USOE ensures immigrant children and youth funds are distributed in a time period appropriate to carry out the activities <p>Area 3: Fiduciary</p> <ul style="list-style-type: none"> • develop and implement a comprehensive corrective action plan, including a timeline, implementation steps, staff, and resources, to ensure that Title III awards are made in a timely manner so that LEAs can carry out their proposed activities. • develop and provide ED with a detailed plan, including a timeline for ensuring that its Title III subgrantees comply with Title III non-supplanting requirements. |

Appendix E: ELEVATE Evaluation

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Appendix F: Region 15 CC SEA Capacity-Building Framework, Readiness Stages of Development Assessment, & Discussion Questions for Action Plan Guide for Development, Improvement, and Scaling-Up

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Glossary

This glossary is intended to clarify the key terms used in the framework. We hope that this glossary will also support a common understanding of the language used while applying the framework, to increase the application and reliability of this tool. This glossary will be revised as the framework continues to be developed and refined.

Alignment: The process of linking components of the organization (e.g., structures, procedures, practices, policies, strategies) so that they support the goals of the organization.

Coherence: Logical, orderly, and aesthetically consistent relationships of various aspects of a system (e.g., organizational design, coordination efforts, funds).

Communication: A process of sharing, delivering, and receiving information.

Coordination: Cooperative activities planned with consideration given to schedules and staff availability; they move beyond “as needed” or “ad hoc events” and are organized to ensure that all participants understand who does what, when, and where, using communication tools to support coordination efforts.

Collaboration: When two or more groups work together toward a common goal by sharing expertise, information, and resources in order to create a new product or outcome.

Policy: The SEA’s formal rules and regulations that guide its activities. These may include board rules and other formal guidelines that are enacted through board decisions or legislatively.

Practice: The SEA’s habitual or customary actions or ways of engaging in organizational activities.

Procedure: The specific methods used to act on policies in the day-to-day activities of the organization. Procedures are series of instructions or steps taken to accomplish an objective. They define the specific instructions necessary to perform a task or part of a process.

Resources: Resources include fiscal resources, human resources, materials, time, facilities, and other assets.

Vision: A clear and comprehensive picture of what the organization will accomplish and become in the future. The vision encompasses a set of core values and beliefs about the desired changes.

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Appendix G: Subject Matter Experts (SMEs)

Standards and Assessment

Nancy Gerzon brings national expertise in formative assessment, with a focus on developing models of technical assistance and professional learning to all levels of the education system – students, teachers, school and district leaders, and state department teams. She works with multiple SEAs facilitating state-level formative assessment networks, designing and implementing SEA training in formative assessment, and developing a range of innovative blended learning opportunities for teachers and leaders to develop statewide formative assessment practices.

Andy Latham has been a national leader in education assessment for more than two decades, and currently serves as Director for the Center for Standards and Assessment Implementation (CSAI) Comprehensive Center, overseeing assessments for both general education and special populations, as well as alignment studies, standards reviews, and research on appropriate access of standards and fair assessment for all student populations. Prior to joining WestEd, Latham served in various executive roles at Educational Testing Service (ETS), including leading large-scale K–12 assessment and teacher licensure programs, and also spent two years in the United Kingdom running the national Standard Assessment Tests program.

Effective Teachers and Leaders

***Sarah Kraemer** is the owner of Blueprint for Education, a strategic consulting firm that focuses on designing impactful strategies to support high quality teachers and leaders across the educator continuum. Most notably, Kraemer was technical assistance provider and subject matter expert for the U.S. Department of Education’s Teacher Incentive Fund 1-4 Programs, and currently for the Teacher Quality Programs Technical Assistance Center, where she serves grantees who are innovating systems to recruit, develop, and retain high quality teachers and leaders in the country’s most needy schools.

Susan Villani has led statewide initiatives in New York, New Hampshire, and Maine and has worked in many school districts to build capacity of teachers and administrators. Having been a principal for 21 years, Villani specializes in consulting and professional development in teacher evaluation, coaching educators to improve instruction, mentoring and inducting new teachers and principals, building collaborative school communities, and formative assessment.

Melissa White works with state education agencies to assess and improve a number of teacher pipeline issues, providing analytics and support to help address teacher and principal labor market issues; systems of teacher evaluation and support; and pre-service teacher education. White is currently leading a multi-year statewide effort in California aimed at reforming university teacher preparation programs.

Effective Teachers and Leaders: Literacy

Cynthia Greenleaf brings over two decades of work conducting cutting-edge research in adolescent literacy and has translated it into powerful teacher professional development. Her work co-developing the Reading Apprenticeship® Instructional Framework has changed classrooms for hundreds of thousands of secondary and college students and their teachers. Three large-scale randomized controlled studies of Reading Apprenticeship have validated its effectiveness in improving students' subject area engagement, literacy, and achievement.

Mary Stump works closely with school leaders at local education agencies across the country to build their capacity for sustained implementation of effective, evidence-based strategies in literacy development. Stump is currently leading the implementation of WestEd's *Reading Apprenticeship*, a highly rated and rigorously tested intervention that prepares educators nationwide to dramatically improve their students' academic literacy across all subject areas.

Effective Teachers and Leaders: Science

Kirsten Daehler has provided technical assistance to state, regional, and local educational agencies for more than 15 years around science teacher professional learning, and the necessary administrator development, program evaluation, formative assessment practices, and professional learning communities to improve student outcomes. Daehler has developed a highly rated, rigorously tested professional development program for science teachers and staff developers that has been shown to dramatically improve student science education outcomes.

Kathy DiRanna is the Statewide Director for California's K-12 Alliance, which has helped to build district capacity and increase teacher content knowledge and pedagogical skills impacting thousands of teachers and millions of students across California. DiRanna has conducted extensive work in systemic reform funded by the National Science Foundation and has also co-developed K-12 statewide and national professional learning for leadership in science education, content, pedagogy, and in using data.

Effective Teachers and Leaders: Technology

Aleata Hubbard designs and implements systems to clean, organize and summarize data for large-scale program monitoring and she also brings a deep background in computer science standards and implementation. Hubbard recently developed the content standards and strategic implementation plans for computer science standards in California and provides technical assistance to LEAs to develop better ways of assessing computer science initiatives in both formal and informal settings.

Yvonne Kao brings years of experience in the design and implementation of computer science and educational technology and recently served as co-Principal Investigator on the Developing Computer Science Pedagogical Content Knowledge through On-the-Job-Learning from the National Science Foundation. Kao has also contributed to state level content standards in computer science and supports local educational agencies to assess and track student computer science learning and achievement.

Effective Teachers and Leaders: Mathematics

Ann Edwards is the Director of Learning and Teaching for the Carnegie Math Pathways, a program that has been proven to close the gap on mathematics deficiencies in community college students nationally. Edwards oversees the development and implementation of the Pathways instructional system, including curricula, assessments, pedagogy, and faculty development systems. Carnegie Pathways students across the country are succeeding at triple the rate and in half the time as traditional college remedial math programs and high school applications of the intervention are now being implemented.

Alice Klein is a leading expert on how to improve the math readiness of preschool and kindergarten children from economically disadvantaged and ELL backgrounds. Klein co-authored (with P. Starkey) an early childhood mathematics curriculum, Pre-K Mathematics, which received the highest rating of effectiveness from the What Works Clearinghouse. She was also a Principal Investigator for Elementary Mathematics on the What Works Clearinghouse, served on IES grant review panels, and published numerous articles on early childhood mathematics education. Most recently, Starkey and Klein were awarded a prestigious Education Innovation and Research grant from the U.S. Department of Education to scale up their early math intervention work throughout the United States.

Prentice Starkey has been a leading researcher in early mathematical development for more than 30 years and has published critical evidence about how mathematical knowledge develops in infants and young learners. Starkey co-authored (with A. Klein) an early childhood mathematics curriculum, Pre-K Mathematics, which received the highest rating of effectiveness from the What Works Clearinghouse. Starkey has presented on early STEM learning to federal policy makers at the Friends of IES meeting and to state-level staff at the National Conference of State Legislatures. Moreover, he has provided technical assistance to state educational agencies on math readiness goals and instructional guidelines. Starkey and Klein recently completed a successful Investing in Innovation grant to test the effectiveness of a multi-year early math intervention in California, and they have now been awarded a prestigious Education Innovation and Research Expansion grant from the U.S. Department of Education.

Kirk Walters is an experienced researcher in mathematics education with decades of experience, who began his career as an urban middle and high school math teacher. He leads rigorous evaluations of programs designed to improve K-12 math teaching and learning and can help state and local education agencies make decisions about evidence-based practices. His work includes experimental studies of intensive professional development programs for math teachers, experimental studies of online and blended student courses, case studies of exemplary math teachers and instructional programs, and research partnerships with policymakers and practitioners. Projects have been funded by the U.S. Department of Education's IES and OESE, as well as NSF and private foundations.

Special Populations: Rural Populations

***Danette Parsley** has led dozens of large-scale projects supporting school improvement efforts in rural schools and districts. Her experience includes serving as the director of the Northwest Regional Comprehensive Center (NWCC) from 2010 to 2013 and she has provided technical assistance through the Comprehensive Centers program since 2006. For the 2012-19 NWCC grant cycle, she worked with a steering committee to design and implement the Northwest Rural Innovation and Student Engagement (NW RISE) Network, a nationally-recognized initiative that brings together isolated rural educators and state education agency leaders across a five-state region to collaborate in cross-district professional learning communities (see Hargreaves & O'Connor, 2017, for a case study). Parsley has presented nationally and internationally on this network, its design and implementation, as well as the outcomes for rural schools, educators, and their students.

***Ron Rickel** is a graduate of the University of Virginia School Turnaround Program and serves as a mentor to twenty-eight different principals in Arizona and New Mexico to build leadership capacity to turnaround low performing schools. Rickel previously served as a Superintendent of a small rural district in Arizona for seven years where his schools were recognized several academic recognition awards including National Title I Distinguished School, Arizona A+ School, and U.S. News & World Report Best High School.

***Roy Sandoval** been recognized at the state and national levels as an expert in creating and sustaining school improvement through the use of longitudinal data and empowering educators to lead. Sandoval has a long history as an educator, and most recently he received national recognition as a turnaround principal for his success at Alchesay High School, which had previously been identified as one of the lowest performing, highest drug/alcohol violence schools in the country.

Special Populations: Indigenous Populations

Sharon Nelson-Barber has worked with indigenous populations to improve educational outcomes for students in the lower 48 states, Alaska, the Northern Pacific Islands of Micronesia and in many areas of Polynesia. Under the West Comprehensive Center Nelson-Barber leads the Tri-state Alliance, a collaboration between WestEd and the State Indian Education Directors in the West region: Arizona, Nevada, and Utah. Together this group has worked to address the educational needs of Indian students in the region by preserving Native language, history and culture; increasing access to effective teachers and leaders; and improving outcomes in low-performing schools with significant numbers of Indian students.

Special Populations: English Language Learners

Leslie Hamburger brings close to two decades working with school and district leaders across numerous states to support their teachers to accelerate language development, academic literacy, and disciplinary knowledge of all students, particularly English learners. She draws upon her years of leadership, technical assistance, and background in learning methodology to design and conduct high quality professional development in for instructional leaders to bring ELs up to grade level in all academic subject areas.

Aida Walqui is recognized as a national leader on increasing the academic success of English language learners. Walqui brings over thirty years working on the development of deep disciplinary practices in second languages and was selected as one of the 50 most influential researchers in the last 50 years in the field of English Language teaching. Walqui currently directs the Teacher Professional Development Program at WestEd and one of its signature initiatives, the *Quality Teaching for English Learners* (QTEL), which provides teachers and leaders nationwide with approaches for supporting the conceptual, academic, and linguistic development of English language learners.

Special Populations: Special Education

Silvia DeRuvo provides technical assistance to state and local education agencies to improve education outcomes for students with disabilities through the implementation of integrated Multi-tiered Systems of Support (MTSS)/ Response to Intervention (RTI) models of schoolwide instructional and behavioral supports. She guides states to align instruction to the Common Core State Standards (CCSS) as well as with effective collaborative inclusive special education practices.

Cecelia Dodge works with state and local education agencies to design, develop, and implement statewide initiatives that support *trauma-informed* positive supports and behavior systems. She also provides state education agencies and local education agencies with in-depth analysis of their systems to streamline impact across all programs and initiatives related to education.

Tye Ripma brings years of experience and expertise in special education, tier 3 intensive individualized interventions, and state level technical assistance to client efforts to implement PBIS. Ripma is a former Inclusion and Behavior Specialist at the LEA level, and is a Board Certified assistant Behavior Analyst (BCaBA) with experience in trauma informed care and crisis response.

Michele Rovins serves as the Associate Director of the National Center for Systemic Improvement (NCSI), an OSEP-funded technical assistance center that helps states transform their systems to improve outcomes for infants, toddlers, children and youth with disabilities. Specializing in systems change, technology systems development, implementation, and evaluation, Rovins has successfully managed several projects for the U.S. Department of Education and served as the chief of staff for the assistant secretary for the Office of Special Education and Rehabilitative Services (OSERS).

School Finance

Alexander Berg-Jacobson conducts research related to education finance, strategic resource allocation, and cost modeling and provides collaborative research-based capacity building to education practitioners including direct organizational improvement assistance and facilitating stakeholder engagements. Prior to joining WestEd, Berg-Jacobson worked as a researcher and technical assistance provider for the American Institutes for Research (AIR) and worked as a part of the Center on Great Teachers and Leaders providing direct support to state education agencies across the country to improve with respect to educator quality and equitable access to excellent educators.

Sara Menlove Doutre is an expert in special education finance with significant experience consulting with states and school districts on compliance with federal and state fiscal regulations and innovative models to fund strategic activities to improve outcomes for students with disabilities and all students. Doutre leads technical assistance activities for the national Center for IDEA Fiscal Reporting and the National Center for Systemic Improvement Fiscal Support Team. She has assisted multiple states and LEAs including Texas, New Hampshire, Washington, Alaska, and California and presented on special education finance at the OSEP Leadership Conference, the National Association of State Directors of Special Education, and the Association of California School Administrators.

SEL and School Climate

Jenny Betz supports state education agencies and district leaders to build their capacity to improve school climate and create a positive environment for teaching and learning. Betz also worked with the Now is the Time (NITT) Technical Assistance Center, providing technical assistance, coaching, and training to state and local grantees in the assessment and implementation of high-quality school climate policies and programs, with an emphasis on youth voice and sustainability.

*Indicates SMEs who work outside of WestEd and have submitted Letters of Commitment found in Part 6: Other Attachments Form.

Appendix H: WestEd Comprehensive Center Proposals

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Budget Narrative File(s)

* **Mandatory Budget Narrative Filename:**

Add Mandatory Budget Narrative

Delete Mandatory Budget Narrative

View Mandatory Budget Narrative

To add more Budget Narrative attachments, please use the attachment buttons below.

Add Optional Budget Narrative

Delete Optional Budget Narrative

View Optional Budget Narrative

PART 5: BUDGET NARRATIVE

WestEd

Academic Development Institute

University of Virginia–Partnership for Leaders in Education

Utah Education Policy Center

WestEd



BUDGET JUSTIFICATION
Comprehensive Center Region 15
(Arizona, California, Nevada, Utah)
October 1, 2019 – September 30, 2024

Introduction

In drafting the Center’s proposed budget, the Region 15 Comprehensive Center team aligned the available resources to the challenges and priorities of the SEAs across the region to ensure that allocations and staffing are adequate to successfully carry out the work. The staffing structure reflects the necessary content and technical assistance (TA) expertise needed to meet the states’ needs at appropriate levels of effort for the projects identified in the work plan.

WestEd, ADI, the University of Virginia and the University of Utah draw from talent across our organizations to meet state and regional needs. Our resource allocation decisions are strategic, meant to leverage talent in the most efficient and effective manner, and avoid duplication of effort within the region — all designed with the end goal in mind, to improve outcomes for all students in the states we serve. The following section provides a detailed rationale for the Region 15 CC budget allocations.

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| Personnel | Title | Year 1 | | | Year 2 | | | Year 3 | | | Year 4 | | | Year 5 | | |
|-----------|-------|-------------|-------|-----|-------------|-------|-----|-------------|-------|-----|-------------|-------|-----|-------------|-------|-----|
| | | Base Salary | Wages | FTE | Base Salary | Wages | FTE | Base Salary | Wages | FTE | Base Salary | Wages | FTE | Base Salary | Wages | FTE |
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Year Three

| Description | Origin/ | Days/ | Lodging | Airfare | Other | Per | Per Trip | Quantity | Total |
|-------------|---------|-------|---------|---------|-------|-----|----------|----------|-------|
|-------------|---------|-------|---------|---------|-------|-----|----------|----------|-------|

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Year Five

| Description | Origin/ Destination | Days/ Nights | Lodging | Airfare | Other | Per Diem | Per Trip Cost | Quantity | Total |
|-------------|------------------------|-----------------|---------|---------|-------|-------------|------------------|----------|-------|
|-------------|------------------------|-----------------|---------|---------|-------|-------------|------------------|----------|-------|

| | | | | | | | | | |
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| (b)(4) | | | | | | | | | |
|--------|--|--|--|--|--|--|--|--|--|

| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Total |
|--|--------|--------|--------|--------|--------|-------|
|--|--------|--------|--------|--------|--------|-------|

| | | | | | | |
|--------|--|--|--|--|--|--|
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|--------|--|--|--|--|--|--|

Equipment – N/A

Supplies*

This category includes the general office materials such as pens, notepads, markers and accessories (e.g., phone headsets and Mac adapters). Special purchases of materials for specific projects should not be applied to the general supply pool. This pool also includes expenses for general mailing. If a project requires heavy mailing of program materials, the costs should be budgeted for and charged directly to the project.

| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Total |
|--|--------|--------|--------|--------|--------|-------|
|--|--------|--------|--------|--------|--------|-------|

| | | | | | | |
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| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Total |
|--|--------|--------|--------|--------|--------|-------|
|--|--------|--------|--------|--------|--------|-------|

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| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Total |
|--|--------|--------|--------|--------|--------|-------|
|--|--------|--------|--------|--------|--------|-------|

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Construction – N/A

Other

*Telephone**

This category includes all hardware and expenses related to telecommunications. It includes, but is not limited to, ShoreTel equipment such as desk phones, network routers and phone system cabling. This also includes fees for telephone service, support, and conference calling.

| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Total |
|--|--------|--------|--------|--------|--------|-------|
|--|--------|--------|--------|--------|--------|-------|

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*Copying and Shared Equipment**

This category includes all general office fees for copier leases and usage of scanners, copiers and printers in WestEd offices. Special printing and copying will be expensed directly to the project.

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This category also includes equipment that is shared within an office location such as shredders, LCD projectors and screens, video conferencing equipment and location specific computers.

| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Total |
|--|--------|--------|--------|--------|--------|-------|
|--|--------|--------|--------|--------|--------|-------|

(b)(4)

Information Systems

Information Technology (IT) comprises several different functions or services that directly support projects. It includes:

- **Personal Computers***—This category consists of all computer equipment that is assigned to users or in storage/inventory. This includes laptops, desktops, iPads, monitors, and the initial purchase of keyboards and mice for new WestEd staff.
- **Information Services***—This category consists of the costs related to providing general technical support to staff on issues related to networks, data recovery, software applications, MAC and PC hardware problems, database support, etc. It also includes costs related to the implementation, maintenance and support for the overall data network, telecommunications, and business applications for the agency.
- **Network Systems***—This category consists of the costs for providing the overall data network system for the Agency. It includes, but is not limited to, network related equipment such as servers, network routers, wireless access points and cabling. This also includes fees for internet services providers, system and equipment maintenance, business software applications such as Box and Smartsheet, firewalls, and server support.

| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Total |
|--|--------|--------|--------|--------|--------|-------|
|--|--------|--------|--------|--------|--------|-------|

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*Facility**

Facility represents the rent and/or occupancy of project office space at a specific WestEd location.

| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Total |
|--|--------|--------|--------|--------|--------|-------|
|--|--------|--------|--------|--------|--------|-------|

(b)(4)

*Program Support**

Program support includes administrative services and program services. Administrative services represent expenses such as human resources, insurance, legal, membership dues, and general administrative. Program services consist of activities involving staff planning, quality review, staff development, work planning, and staff evaluation; they also include library assistance to WestEd staff.

| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Total |
|--|--------|--------|--------|--------|--------|-------|
|--|--------|--------|--------|--------|--------|-------|

(b)(4)

Outside Services

| | | | | | | |
|--------|--|--|--|--|--|--|
| (b)(4) | | | | | | |
|--------|--|--|--|--|--|--|

| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Total |
|--|--------|--------|--------|--------|--------|-------|
|--|--------|--------|--------|--------|--------|-------|

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| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Total |
|--|--------|--------|--------|--------|--------|-------|
|--|--------|--------|--------|--------|--------|-------|

(b)(4)

Total Direct Costs

| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Total |
|--|--------|--------|--------|--------|--------|-------|
|--|--------|--------|--------|--------|--------|-------|

(b)(4)

Indirect Costs

The Agency's indirect cost rate (overhead rate) is negotiated with its cognizant agency, the United States Department of Education

(b)(4)

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| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Total |
|--|--------|--------|--------|--------|--------|-------|
|--|--------|--------|--------|--------|--------|-------|

(b)(4)

Training Stipends – N/A

Total Costs

| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Total |
|-------------|-------------|-------------|-------------|-------------|-------------|--------------|
| Total Costs | \$6,472,657 | \$6,472,657 | \$6,472,657 | \$6,472,657 | \$6,472,657 | \$32,363,285 |

* General expenses in these categories are pooled by office location and allocated to projects on the basis of labor hours charged. WestEd uses a target allocation rate based on the previous year's actual rate for charging projects as well as for budgeting purposes. This rate may be adjusted during the year to reflect actual performance. The rate is calculated using the accounting application, Costpoint, which sorts by project the hours each employee reports on timesheets, matches the hours with the location code in the employee's master file, calculates the charges, and allocates the costs based on the project account codes reported on the timesheets.

Academic Development Institute



Academic Development Institute (ADI)
BUDGET JUSTIFICATION
Comprehensive Center Region 15 (Arizona, California, Nevada, Utah)
October 1, 2019 – September 30, 2024

Personnel

(b)(4)

| Key Personnel | Annual Salary | FTE% | Amount |
|---------------|---------------|------|--------|
|---------------|---------------|------|--------|

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Fringe Benefits

| Key Personnel | Amount | Fringe Amt | Total |
|---------------|--------|------------|-------|
|---------------|--------|------------|-------|

(b)(4)

Travel

(b)(4)

Annual Travel

| Description | Origin/ Destination | Days/ Nights | Per Trip Cost | Quantity | Total |
|-------------|------------------------|-----------------|---------------------|----------|-------|
|-------------|------------------------|-----------------|---------------------|----------|-------|

(b)(4)

| | |
|--|-------------------------|
| | Annual Total |
|--|-------------------------|

(b)(4)

Equipment – N/A**Supplies**

Budgeted at (b)(4) per year, the supplies item will include materials prepared for clients as part of technical assistance activities as well as general office supplies.

Contractual

(b)(4)

Construction – N/A**Other**

(b)(4)

| | Annual Total |
|--------|-----------------|
| (b)(4) | |

Total Direct Costs

| | Annual Total |
|--------|-----------------|
| (b)(4) | |

Indirect Costs

ADI applies the federal statutory *de minimis* indirect rate of 10% of modified total direct costs (MTDC).

| | Annual Total |
|--------|-----------------|
| (b)(4) | |

Training Stipends – N/A

Total Costs

| | Annual Total |
|--------|-----------------|
| (b)(4) | |

**University of Virginia–Partnership
for Leaders in Education**

REGION 15, WESTED & UVA-PLE PARTNERSHIP VISION

The University of Virginia Darden/Curry Partnership for Leaders in Education (PLE) functions under the umbrella of the Darden School Foundation, a 501(c)(3) corporation that operates Darden's world-renowned Executive Education program. PLE draws its strength from the unique collaboration between the Darden School of Business and the Curry School of Education that combines innovative thinking from both fields to address systems level challenges in education.

Through this work, PLE will provide executive leadership training and support for state education agency (SEA) leadership. Our highest aspiration for the program is for each SEA leadership team to identify and confront its most critical challenges, creating better performing schools and positive results for students. In order to reach that aspiration, this program is intended to transform each agency, focusing on building the capacity of executive teams to lead, align, support, monitor and promote statewide initiatives in their respective states. By rigorously naming what is working and what is not working in their agency, by breaking down silos and increasing communication and alignment, and by developing collective leadership capacity, SEA participants will not only have a tremendous impact on the schools they serve, but they will also model leadership for districts and schools in their state.

The following key features will ensure that the SEA program reaches this aspiration:

- World-class leadership development with cabinet leadership with workshop application time a couple times as a cohort of states across the year
- A tailored in-state consultation for state leadership to advance their plans
- Shared learning across states and a learning environment that enables agency transformation; and
- Ongoing technical assistance and thought partnership from senior WestEd staff to ensure progress and connectivity between programs

UVA-PLE has an organizational history already of positively impacting SEA leadership practice in service to communities in Arizona, Nevada, and Utah – and many of our frameworks developed through the Center on School Turnaround have helped inform California's approach to ESSA. Recognizing the critical importance of state leadership leading based on their theory and context, this vision will be further tailored once the Region 15 contract is awarded in order to advance the strategic priorities these state leadership teams identify and help them identify and address their most critical needs as a high performance team.

OUTCOMES & IMPACT: SEA EXECUTIVE LEADERSHIP PROJECT

In partnership with the West Comprehensive Center, the PLE has run a program for AZ, UT, CO, NM, and NV chief state school officers and their executive teams for the last seven years (2012-2019). This program works with SEA leadership teams build their capacity to lead state education goals and initiatives and specifically address the unique challenges needs and priorities of each SEA. This partnership has provided the opportunity to access training, consultation, and coaching

from Darden School of Business faculty to address leadership, talent management, strategic planning, performance management, and other internal organizational issues. All executive education programs have been planned in response to needs assessments and designed with the chiefs' input. Teams worked in whole group interactive sessions, under Darden faculty case method of teaching, with individual team time to apply whole group discussions to their own context and identify and resolve issues, address agency specific challenges and plan for improvement.

During the 2017 interviews, SEA leaders reported a number of specific outcomes that have resulted from their professional learning opportunities and cross-state role alike sharing and support. (Utah Education Policy Center 2017). Some examples:

- SEA leaders consistently report that the executive leadership program has provided SEAs with strategies and tools to **increase their capacity** to set a vision and goals for the organization and engage in more effective strategic planning processes.
- Nevada developed a new strategic plan and a **performance management system** to ensure its implementation and monitor progress that involved all divisions in the agency.
- Utah initiated and implemented a **design-thinking process** to bring coherence and a common approach to cross-program planning.
- Colorado improved **internal communication and collaboration** efforts after a period of several leadership transitions that provided a shared vision and culture within the agency.
- New Mexico increased its **focus on low-performing schools** by exploring how they could better engage all programs within the agency on leadership support and school improvement efforts.
- Arizona increased **communication and cooperation** between its grant management/operations team and its program teams.

SCOPE OF WORK
Subcontract between
University of Virginia Darden School Foundation on behalf of
Darden/Curry Partnership for Leaders in Education
and
WestEd

Period: October 1, 2019- September 30, 2024

The Darden/Curry Partnership for Leaders in Education (PLE) and WestEd have agreed to partner in order to expand upon the current WestEd SEA leadership program by providing an executive leadership program designed specifically for state education agency (SEA) chiefs and executive teams in Region 15 Comprehensive Center (serving the states Arizona, California, Nevada, and Utah) Services and budget named are flexible with regard to needs and priorities of state chiefs and location of delivery. This budget assumes at least one of the programs will be delivered in Charlottesville each year. PLE would also welcome opportunities for delivering the program with other regional comprehensive centers as appropriate to allow the budget to go further with additional services; if this happens, we will adjust budget accordingly.

This program will focus on working with SEA executive teams in Region 15 states to help build their capacity to lead, align, support, monitor and promote statewide initiatives in their respective states. The PLE and WestEd will collaborate to offer this program through the Region 15 Comprehensive Center. There will be additional costs for room, board, and travel if no programs take place in Charlottesville. Though, if any of these events are combined with another comprehensive center event, the budget for any given event to Region 15 will be substantially reduced and added services or length of the program would be provided.

Each Year Program Design and Objectives (October 1 – September 30)

1.6 Day Fall Program - (October, September, November Each Year)

Location: Charlottesville, VA

This session will center the partnership with a half-day of planning sessions to inform the long-term vision and one day of executive education focused on themes developed in consultation with SEA chiefs. This session will aim to create shared learning across states with intentional effort to celebrate innovation and a learning environment that enables trust and support and advances necessary agency transformation.

2 Day Spring Program – (April, May, June Each Year)

Location: Washington DC or Southwestern Location

Sessions will address further development of SEA executive leadership, designed in part based on the outcomes of the fall session. By rigorously naming what is working and what is not working in their agency, by breaking down silos and increasing communication and alignment, and by developing collective leadership capacity, SEA participants will not only have a tremendous impact on the schools they serve, but they will also model leadership for districts and schools in their state.

State Tailored Support Half-day Consultation - (Each state chooses timing; either between fall and spring program or following spring program)

These three consultations will provide dedicated support for state leadership teams. A faculty member or an expert consultant will lead this session featuring facilitated learning and problem solving that advances strategic work mission-critical to the state leadership team and if possible connected to learning of the previous sessions. There is also flexibility for states to combine and receive a regional change leadership retreat. These sessions are not meant to be full executive education but instead largely consultative support in nature.

WestEd could choose to instead pursue a state leadership retreat for each state that is more similar to a robust state-specific program with a design that is similar to executive education though is adaptive by state by including more workshop and application time. The PLE can offer this at a major discount though the cost of this retreat is greater than current budget allows.

Another critical aspect of the delivery model is the interconnectivity to the technical assistance to meet state needs that WestEd will provide between events. This technical assistance is detailed in a separate scope – though WestEd and UVA-PLE staff will work hand in hand to enhance impact and ensure the programmatic outcomes determined by each state inform ongoing assistance.

BUDGET

**Subcontract between
University of Virginia Darden School Foundation on behalf of
Darden/Curry Partnership for Leaders in Education
and
WestEd**

Period: October 1, 2019- September 30, 2024

As subcontractor for WestEd, the Darden/Curry Partnership for Leaders in Education at the University of Virginia proposes a yearly budget with the current subcontract ceiling set at (b)(4). The services below are simply a proposed starting point and we anticipate dialogue with WestEd to determine what is most impactful, making adjustments accordingly. The subcontractor shall be reimbursed for actual, allowable costs incurred in the performance of services approved, in advance, by the WestEd Director. There will be an additional room, board, and travel costs if no programs take place in Charlottesville and both programs occur in Washington DC or out West.

Yearly Program Costs (Total of (b)(4))

1.6 Day Fall Program - (October, September, November 2019)

(b)(4)

(b)(4)

Utah Education Policy Center

UEPC Budget & Narrative for Region 15 CC Evaluation Plan

(b)(4)

Salaries

Personnel salaries

(b)(4)

(b)(4)

Benefits

Personnel benefits

(b)(4)

Personnel Total

Non-personal expenses

Travel

Other expenses

(b)(4)

Non-personal expense total

Direct costs total

(b)(4)

TOTAL ANNUAL BUDGET

(b)(4)

Other Attachment File(s)

* **Mandatory Other Attachment Filename:**

[Add Mandatory Other Attachment](#)

[Delete Mandatory Other Attachment](#)

[View Mandatory Other Attachment](#)

To add more "Other Attachment" attachments, please use the attachment buttons below.

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PART 6: OTHER ATTACHMENTS FORM

Resumes

Letters of Support

Indirect Cost Rate Agreement

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RESUMES

WestEd

Academic Development Institute

University of Virginia–Partnership for Leaders in Education

Utah Education Policy Center

WestEd

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Academic Development Institute

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**University of Virginia–Partnership
for Leaders in Education**

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Utah Education Policy Center

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Withheld pursuant to exemption

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LETTERS OF SUPPORT

Withheld pursuant to exemption

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of the Freedom of Information and Privacy Act

Withheld pursuant to exemption

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INDIRECT COST RATE AGREEMENT

Withheld pursuant to exemption

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of the Freedom of Information and Privacy Act

Withheld pursuant to exemption

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of the Freedom of Information and Privacy Act

Withheld pursuant to exemption

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of the Freedom of Information and Privacy Act